

**State of California
Health and Human Services Agency
Department of Community Services and Development**

**LOW-INCOME HOME ENERGY ASSISTANCE PROGRAM (LIHEAP)
STATE PLAN APPLICATION**

**ABBREVIATED MODEL PLAN
FEDERAL FISCAL YEAR (FFY) 2012
October 1, 2011 – September 30, 2012**

**Submitted to:
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES
OFFICE OF COMMUNITY SERVICES**

**EDMUND G. BROWN, JR.
Governor**

**DIANA S. DOOLEY
Secretary, California Health and Human Services Agency**

**JOHN A. WAGNER
Interim Director, Department of Community Services and Development**

DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT

P.O. Box 1947
Sacramento, CA 95812-1947
(916) 576-7109
(916) 263-1406 (FAX)
(916) 263-1402 (TDD)



August 29, 2011

Dr. Yolanda J. Butler, Acting Director
Division of Energy Assistance
Office of Community Services/ACF/HHS
370 L'Enfant Promenade, S.W.
Washington, D.C. 20447

Subject: Low-Income Home Energy Abbreviated State Plan Application for Federal Fiscal Year 2012

Dear Dr. Butler:

Enclosed is the State of California's Low-Income Home Energy Assistance Program (LIHEAP) Abbreviated State Plan Application for Federal Fiscal Year 2012, and the LIHEAP Household Report for Federal Fiscal Year 2011.

Pursuant to Title XXVI of the Omnibus Budget Reconciliation Act of 1981, as amended, I certify that the California Department of Community Services and Development (CSD) will comply with the sixteen federal assurances. A delegation letter from Governor Brown is enclosed.

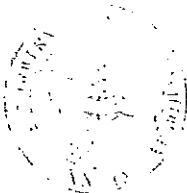
On August 16, 2011, CSD conducted a public hearing on the proposed LIHEAP Abbreviated State Plan Application, as required by federal law. No public testimony was presented.

Sincerely,

A handwritten signature in black ink, appearing to read "John A. Wagner", is written over the typed name.

JOHN A. WAGNER
Interim Director

Enclosures



OFFICE OF THE GOVERNOR

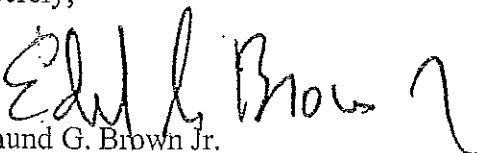
May 26, 2011

Ms. Yolanda J. Butler, Ph.D.
Acting Director
Office of Community Services
Administration for Children and Families
U.S. Department of Health and Human Services
370 L'Enfant Promenade, S.W.
Washington, D.C. 20447

Dear Ms. Butler:

Pursuant to 42 U.S.C. 9908(a)(1) and Title 45, Part 96.10(b) of the Code of Federal Regulations, I hereby delegate signature authority to John A. Wagner, Acting Director of the State of California's Department of Community Services and Development, and his successor, for the purposes of submitting the application and certifying compliance with federal assurances relating to the Community Services Block Grant and Low-Income Home Energy Assistant Program.

Sincerely,


Edmund G. Brown Jr.

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM (LIHEAP)

ABBREVIATED MODEL PLAN

PUBLIC LAW 97-35, AS AMENDED

FISCAL YEAR (FY) 2012

GRANTEE State of California, Department of Community Services and Development

EIN: 1-94-600001347-K4

ADDRESS: P.O. Box 1947

Sacramento, CA 95812-1947

2389 Gateway Oaks Drive, Suite 100

Sacramento, CA 95833

NAME OF LIHEAP COORDINATOR: Kathy Andry

EMAIL: kandry@csd.ca.gov

TELEPHONE: 916-576-7109 FAX: 916-263-1406

LAST DETAILED MODEL PLAN FILED: FY 2010

PLEASE CHECK ONE: TRIBE _____ STATE X INSULAR AREA _____

**Department of Health and Human Services
Administration for Children and Families
Office of Community Services
Washington, D.C. 20447**

August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01

OMB Approval No. 0970-0075, Expiration Date: 09/30/2011

THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13)

Use of this model plan is optional. However, the information requested is required in order to receive a Low Income Home Energy Assistance Program (LIHEAP) grant in years in which a grantee is not required to use the detailed model plan. Public reporting burden for this collection of information is estimated to average 20 minutes per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

GRANTEE: Department of Community Services and Development FY2012

Assurances

The Department of Community Services and Development agrees to:

(Grantee Name)

(1) use the funds available under this title to--

(A) conduct outreach activities and provide assistance to low income households in meeting their home energy costs, particularly those with the lowest incomes that pay a high proportion of household income for home energy, consistent with paragraph (5);

(B) intervene in energy crisis situations;

(C) provide low-cost residential weatherization and other cost-effective energy-related home repair; and

(D) plan, develop, and administer the State's program under this title including leveraging programs,

and the State agrees not to use such funds for any purposes other than those specified in this title;

(2) make payments under this title only with respect to--

(A) households in which one or more individuals are receiving--

(i) assistance under the State program funded under part A of title IV of the Social Security Act;

(ii) supplemental security income payments under title XVI of the Social Security Act;

(iii) food stamps under the Food Stamp Act of 1977; or

(iv) payments under section 415, 521, 541, or 542 of title 38, United States Code, or under section 306 of the Veterans' and Survivors' Pension Improvement Act of 1978; or

(B) households with incomes which do not exceed the greater of --

(i) an amount equal to 150 percent of the poverty level for such State; or

(ii) an amount equal to 60 percent of the State median income;

except that a State may not exclude a household from eligibility in a fiscal year solely on the basis of household income if such income is less than 110 percent of the poverty level for such State, but the State may give priority to those households with the highest home energy costs or needs in relation to household income.

(3) conduct outreach activities designed to assure that eligible households, especially households with elderly individuals or disabled individuals, or both, and households with high home energy burdens, are made aware of the assistance available under this title, and any similar energy-related assistance available under subtitle B of title VI (relating to community services block grant program) or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;

(4) coordinate its activities under this title with similar and related programs administered by the Federal Government and such State, particularly low-income energy-related programs under subtitle B of title VI (relating to community services block grant program), under the supplemental security income program, under part A of title IV of the Social Security Act, under title XX of the Social Security Act, under the low-income weatherization assistance program under title IV of the Energy Conservation and Production Act, or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;

(5) provide, in a timely manner, that the highest level of assistance will be furnished to those households which have the lowest incomes and the highest energy costs or needs in relation to income, taking into account family size, except that the State may not differentiate in implementing this section between the households described in clauses 2(A) and 2(B) of this subsection;

(6) to the extent it is necessary to designate local administrative agencies in order to carry out the purposes of this title, to give special consideration, in the designation of such agencies, to any local public or private nonprofit agency which was receiving Federal funds under any low-income energy assistance program or weatherization program under the Economic Opportunity Act of 1964 or any other provision of law on the day before the date of the enactment of this Act, except that--

(A) the State shall, before giving such special consideration, determine that the agency involved meets program and fiscal requirements established by the State; and

(B) if there is no such agency because of any change in the assistance furnished to programs for economically disadvantaged persons, then the State shall give special consideration in the designation of local administrative agencies to any successor agency which is operated in substantially the same manner as the predecessor agency which did receive funds for the fiscal year preceding the fiscal year for which the determination is made;

(7) if the State chooses to pay home energy suppliers directly, establish procedures to --

(A) notify each participating household of the amount of assistance paid on its behalf;

(B) assure that the home energy supplier will charge the eligible household, in the normal billing process, the difference between the actual cost of the home energy and the amount of the payment made by the State under this title;

(C) assure that the home energy supplier will provide assurances that any agreement entered into with a home energy supplier under this paragraph will contain provisions to assure that no household receiving assistance under this title will be treated adversely because of such assistance under applicable provisions of State law or public regulatory requirements; and

(D) ensure that the provision of vendored payments remains at the option of the State in consultation with local grantees and may be contingent on unregulated vendors taking appropriate measures to alleviate the energy burdens of eligible households, including providing for agreements between suppliers and individuals eligible for benefits under this Act that seek to reduce home energy costs, minimize the risks of home energy crisis, and encourage regular payments by individuals receiving financial assistance for home energy costs;

(8) provide assurances that --

(A) the State will not exclude households described in clause (2)(B) of this subsection from receiving home energy assistance benefits under clause (2), and

(B) the State will treat owners and renters equitably under the program assisted under this title;

(9) provide that --

(A) the State may use for planning and administering the use of funds under this title an amount not to exceed 10 percent of the funds payable to such State under this title for a fiscal year and not transferred pursuant to section 2604(f) for use under another block grant; and

(B) the State will pay from non-Federal sources the remaining costs of planning and administering the program assisted under this title and will not use Federal funds for such remaining cost (except for the costs of the activities described in paragraph (16));

(10) provide that such fiscal control and fund accounting procedures will be established as may be necessary to assure the proper disbursement of and accounting for Federal funds paid to the State under this title, including procedures for monitoring the assistance provided under this title, and provide that the State will comply with the provisions of chapter 75 of title 31, United States Code (commonly known as the "Single Audit Act");

(11) permit and cooperate with Federal investigations undertaken in accordance with section 2608;

(12) provide for timely and meaningful public participation in the development of the plan described in subsection (c);

(13) provide an opportunity for a fair administrative hearing to individuals whose claims for assistance under the plan described in subsection (c) are denied or are not acted upon with reasonable promptness; and

(14) cooperate with the Secretary with respect to data collecting and reporting under section 2610.

(15)* beginning in fiscal year 1992, provide, in addition to such services as may be offered by State Departments of Public Welfare at the local level, outreach and intake functions for crisis situations and heating and cooling assistance that is administered by additional State and local governmental entities or community-based organizations (such as community action agencies, area agencies on aging and not-for-profit neighborhood-based organizations), and in States where such organizations do not administer functions as of September 30, 1991, preference in awarding grants or contracts for intake services shall be provided to those agencies that administer the low-income weatherization or energy crisis intervention programs.

*** This assurance is applicable only to States, and to territories whose annual regular LIHEAP allotments exceed \$200,000. Territories with annual allotments of \$200,000 or less and Indian tribes/tribal organizations are not subject to Assurance 15.**

(16) use up to 5 percent of such funds, at its option, to provide services that encourage and enable households to reduce their home energy needs and thereby the need for energy assistance, including needs assessments, counseling, and assistance with energy vendors, and report to the Secretary concerning the impact of such activities on the number of households served, the level of direct benefits provided to those households, and the number of households that remain unserved.

GRANTEE: Department of Community Services and Development FY2012

Certification to the Assurances: As Chief Executive Officer, I agree to comply with the sixteen assurances contained in Title XXVI of the Omnibus Budget Reconciliation Act of 1981, as amended.* By signing these assurances, I also agree to abide by the standard assurances on lobbying, debarment and suspension, and a drug-free workplace.

Signature of the Tribal or Board Chairperson or Chief Executive Officer of the State or Territory.**

Signature:  John A. Wagner

Title: Interim Director

Date: August, 29, 2011

*** Indian tribes/tribal organizations, and territories with annual regular LIHEAP allotments of \$200,000 or less, are not subject to assurance 15, and thus must only certify to 15 assurances.**

**** If a person other than the Chief Executive Officer of the State or territory, or Tribal Chairperson or Board Chairperson of a tribal organization, is signing the certification to the assurances, a letter must be submitted delegating such authority. (PLEASE ATTACH DELEGATION of AUTHORITY.) The delegation must include authority to sign the assurances, not just to administer the program.**

***** HHS needs the EIN (Entity Identification Number) of the State, territory or Tribal agency that is to receive the grant funds before it can issue the grant.**

In the above assurances which are quoted from the law, "State" means the 50 States, the District of Columbia, an Indian Tribe or Tribal Organization, or a Territory; "title" of the Act refers to Title XXVI of the Omnibus Budget Reconciliation Act of 1981 (OBRA), as amended, the "Low Income Home Energy Assistance Act"; "section" means Section 2605 of OBRA; and, "subsection" refers to Section 2605(b) of OBRA.

Modified LIHEAP FY 2011 Application

Please list all changes made from your most recent detailed plan.

<u>Page</u>	<u>Subject</u>	<u>Modification</u>
9, 10	Eligibility	The State requires its subgrantees to give first priority for services to households with the lowest income and highest energy costs or needs in relation to income and shall factor into its first priority for services those households with vulnerable populations to include: young children ages 5 or under, disabled, and elderly person ages 60 or older. The State allows an alternate year policy as an additional priority rule that subgrantees can adopt to ensure that benefits are accessible by as many eligible households as possible, with exceptions and safeguards to ensure that especially vulnerable customers in the service area have continuous eligibility.

Please specify whether you are using calendar year 2011 poverty level **or** FY 2012 median income estimates in determining eligibility:

2011 poverty level _____%

OR

FY 2012 median income 60 %

GRANTEE: Department of Community Services and Development FY2012

Please describe how you obtained public participation in the development of your 2012 plan.
(For States, please also provide information on your public hearings.):

A public hearing was conducted on August 16, 2011 at 10:00 a.m. at the Department of Community Services and Development (CSD), 2389 Gateway Oaks Drive, Sinex Conference Room, Sacramento, CA 95833.

The draft 2012 Abbreviated State Plan Application was posted on the CSD website August 5, 2011. On August 9, 2011 notification was emailed to all LIHEAP service providers advising them CSD had posted the draft 2012 Abbreviated State Plan on the website. The notification also announced the date, time, and location of the public hearing. Public Notices were published in several newspapers in the north, central, and southern parts of the state. Publication of these notices was posted ten days prior to the August 16, 2011 hearing date. The public had until 5:00 p.m. on August 16, 2011 to submit written comments.

No written comments were received from the public.

No written comments were received from the LIHEAP Service Providers.

Date Carryover and Reallotment Report submitted: July 21, 2011

Submit Continuation Pages as Necessary

ADDITIONAL CERTIFICATIONS AND REQUIREMENTS

Attached are additional certifications required as follows:

- * **Lobbying certification**, which must be filed by all States and territories. If applicable, Form LLL, which discloses lobbying payments, must be submitted. **(Tribes and tribal organizations are EXEMPT.)**
- * **Debarment and suspension certification**, which must be filed by all grantees.
- * **Drug-free workplace requirement certification**, which must be filed by all grantees, unless the grantee has filed a statewide certification with the Department of Health and Human Services. **STATES ONLY:** If you have filed a statewide certification for the drug-free workplace requirement, please check here:_____
- * One of the requirements included in the 1994 reauthorization of the statute is that grantees must include in their annual application for funds a report on the number and income levels of households applying for and receiving LIHEAP assistance, and on the number of recipient households that have members who are elderly, disabled, or young children.

All Tribes and those territories with allotments of less than \$200,000 need only submit data on the number of households served by each component (heating, cooling, weatherization and crisis). The approval for the collection of information contained in the **LIHEAP Household Report** is covered by OMB approval number 0970-0060.
- * Though not a part of this application, the report on funds to be carried over or available for reallocation as required by section 2607(a) for the preceding year must be submitted by August 1 of each year. A grant award for the current fiscal year may not be made until the carryover/reallocation report is received. The approval for the collection of information contained in the **LIHEAP Carryover and Reallocation Report** is covered by OMB approval number 0970-0106.

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CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.


(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.



Signature
Interim Director

Title
Department of Community of Services and Development
Organization

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER
RESPONSIBILITY MATTERS**

Certification Regarding Debarment, Suspension, and Other Responsibility
Matters--Primary Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled ``Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction,'' provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the

GRANTEE: Department of Community Services and Development FY2012

certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility
Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary
Exclusion--Lower Tier Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction,

principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, [[Page 33043]] should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled ``Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction,'' without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification Regarding Debarment, Suspension, Ineligibility an Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645(a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. For grantees other than individuals, Alternate I applies.
4. For grantees who are individuals, Alternate II applies.
5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the

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responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about --
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted --

GRANTEE: Department of Community Services and Development FY2012

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

(B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

2389 Gateway Oaks Drive, Suite 100, Sacramento, Sacramento County, CA 95833

Check if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

GRANTEE: Department of Community Services and Development FY2012

Attachment One: Public Hearing Comments and Responses

No Public Hearing comments were made.

Attachment Two: Notices of Public Hearing

- CSD's Website
- Notice emailed to all LIHEAP Service Providers
- Public Notice published in the following newspapers:
 - LA Opinion
 - Los Angeles Times
 - Redding Record Searchlight
 - The Sacramento Bee

GRANTEE: Department of Community Services and Development FY2012

Screen print of CSD's website



GRANTEE: Department of Community Services and Development FY2012

Screen print of CSD's calendar from CSD's website

The screenshot shows a web browser window displaying the CSD website's calendar. The browser's address bar shows the URL <http://www.csd.ca.gov/Lists/Calendar/calendar.aspx>. The website header includes the CSD logo and navigation links: Home, CSD Contractors, About Us, Director, Programs, Recovery Act, FAQs, Resources, Español, and Languages. A 'Sign In' link is also present. Below the header, the page title is 'CSD > Calendar'. A message states: 'Use the Calendar list to keep informed of upcoming meetings, deadlines, and other important events.' The calendar is for August 2011, with the current date being Thursday, August 18, 2011. The calendar grid shows dates from 1 to 31. Events are listed for August 16, 17, and 18. On August 16, there is a 'LIHEAP 2012 State Plan Public Hearing' at 10:00 AM and a 'CSBG State Plan Legislative Hearing' at 1:30 PM. On August 17, there is a 'CSBG CAC meeting' at 10:00 AM. On August 18, there is a 'CSBG State Plan due to OCS' and a '2012 LIHEAP State Plan due to U.S. HHS'. The left sidebar contains sections for 'PROGRAMS', 'RESOURCES', and 'LINKS'. The 'PROGRAMS' section lists: CSD Recovery Act, Community Services Block Grant, Low-Income Home Energy Assistance, Weatherization Assistance Program, Lead Hazard Control, and Service Provider Directories & Income Guidelines. The 'RESOURCES' section lists: Calendar, News Releases, Consumer Alerts, Publications, Disaster Preparedness, Employment, and Contact CSD. The 'LINKS' section lists: California Health and Human Services Agency and Department of Housing and

Office of Governor
Edmund G. Brown Jr.
Visit his Website

Interim Director
John A. Wagner
Visit his Website

CSD > Calendar
Use the Calendar list to keep informed of upcoming meetings, deadlines, and other important events.

View: Calendar

← → August, 2011

Expand All Collapse All | Day 7 Week 31 Month

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
31	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16 10:00 AM LIHEAP 2012 State Plan Public Hearing 1:30 PM CSBG State Plan Legislative Hearing	17 10:00 AM CSBG CAC meeting	18	19	20
21	22	23	24	25	26	27
28	29	30	31	1 CSBG State Plan due to OCS 2012 LIHEAP State Plan due to U.S. HHS	2	3

Today is
Thursday, August 18, 2011

PROGRAMS

- » CSD Recovery Act
- » Community Services Block Grant
- » Low-Income Home Energy Assistance
- » Weatherization Assistance Program
- » Lead Hazard Control
- » Service Provider Directories & Income Guidelines

RESOURCES

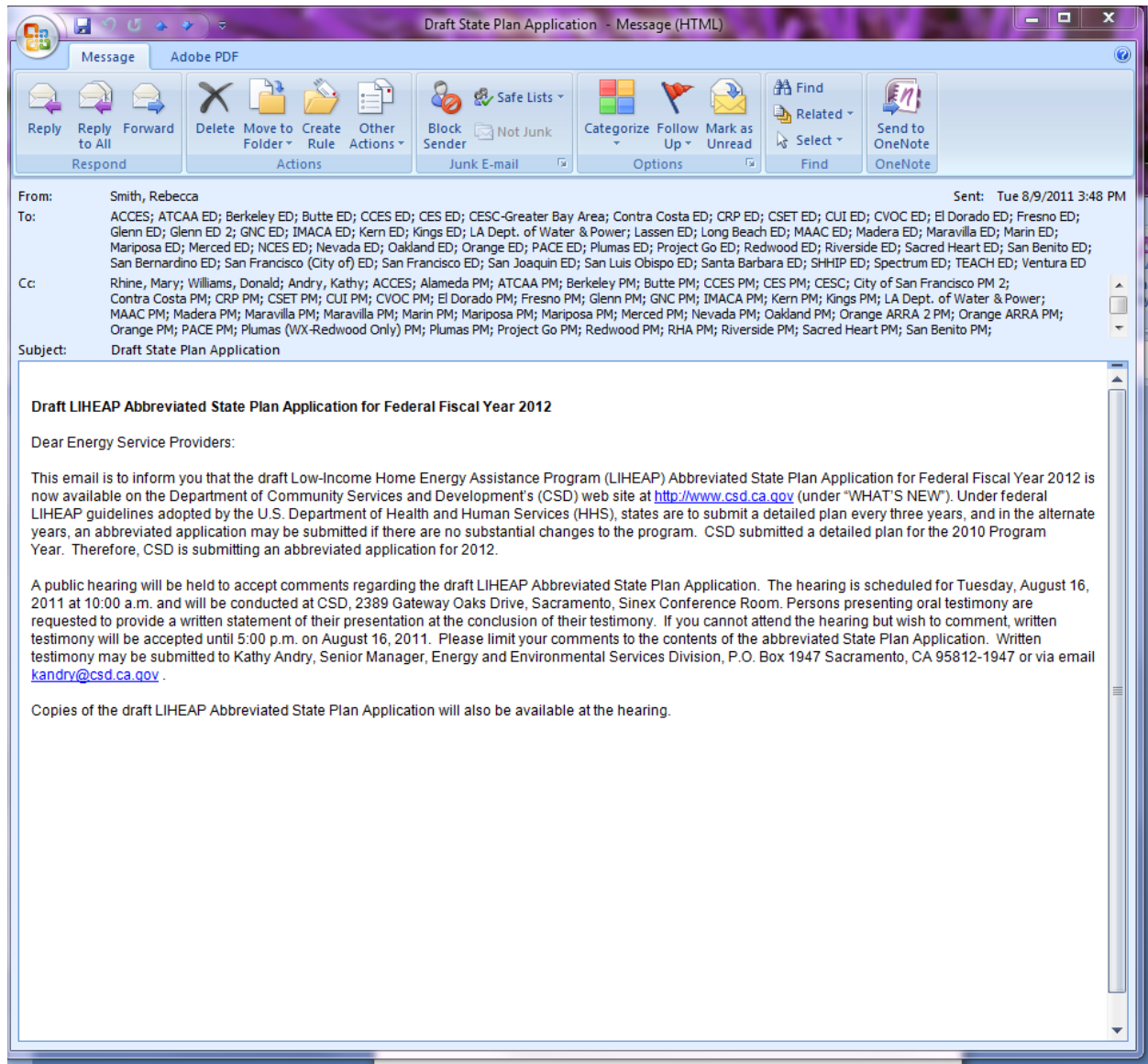
- » Calendar
- » News Releases
- » Consumer Alerts
- » Publications
- » Disaster Preparedness
- » Employment
- » Contact CSD

LINKS

- » California Health and Human Services Agency
- » Department of Housing and

GRANTEE: Department of Community Services and Development FY2012

Email sent to all LIHEAP Service Providers



Proof of Publications

**PROOF OF PUBLICATION
(2015.5C.C.P.)**

La Opinión

The Leading Spanish Language Daily Newspaper
700 S. Flower St. • Los Angeles, CA 90017
Tel: (213) 896-2260 • Fax: (213) 896-2238
www.laopinion.com

STATE OF CALIFORNIA

I am a citizen of the United States and a resident of the county aforesaid; I am over the age of eighteen years, and not a party to or interested in the above-entitled matter. I am the principal clerk of the printer of La Opinión a newspaper of general circulation, printed and published daily in the city of Los Angeles, County of Los Angeles, and which newspaper has been adjudged a newspaper of general circulation by the Superior Court of the County of Los Angeles, State of California, under the date of July 28, 1969, Case Number: 950176; that the notice, of which the annexed is a printed copy, has been published in each regular and not in any supplement thereof on the following dates, to-wit:

August 5

all in the year 20 11

I certify (or declare) under penalty of perjury that the foregoing is true and correct.

Dated at Los Angeles, California, this

5 day of August, 20 11

Rosa Berumen
Signature

ADV #017 Controlled
Rev. 06/05

This space is for the County Clerk's filing Stamp

Proof of publication:

**ESTADO DE CALIFORNIA DEPARTAMENTO DE
SERVICIOS COMUNITARIOS Y DESAROLLO
AVISO DE AUDIENCIA PUBLICA
PROYECTO ABREVIADO DEL PROGRAMA DE
ASISTENCIA ENERGETICA PARA HOGARES DE
BAJOS INGRESOS (LIHEAP) SOLICITUD DE PLAN
ESTATAL PARA EL AÑO FISCAL (FFY) 2012**

Una audiencia publica para recibir comentarios sobre el Proyecto Abreviado LIHEAP Plan Estatal para el Año Fiscal Federal 2012 está programada para el martes 16 de agosto de 2011 a las 10:00 a.m. en el Departamento de Servicios Comunitarios y Desarrollo, Sala de Conferencias Sinex, 2389 Gateway Oaks Drive, Sacramento, CA 95833. Personas que presentan testimonios orales deberán presentar una declaración por escrito de su presentación a la conclusión de su testimonio. Si no puede asistir, envíe sus comentarios por escrito a: Departamento de Servicios Comunitarios y Desarrollo, P.O. Box 1947, Sacramento, CA 95812-1947. Atención: Kathy Andry, Directora, División de Servicios de Energía y Medio Ambiente. Los comentarios escritos serán aceptados hasta las 5:00 p.m. del Proyecto Abreviado de Asistencia LIHEAP Plan Estatal está disponible ingresando al sitio en línea de la CDS: <http://www.cds.ca.gov>, bajo "WHAT'S NEW". AVISO: Ley de Estadounidenses con Discapacidades - Las personas que, debido a una discapacidad, necesitan asistencia especial para asistir a la audiencia pública, pueden solicitar asistencia llamando a Rebecca Smith al (916) 876-7109. Las solicitudes deben hacerse con por lo menos cinco días hábiles de anticipación.

111-1004609

An Imprintmedia Company

RECORDING/FILING REQUESTED BY AND MAIL TO:
Dept of Community Svcs & Dev
2389 Gateway Oaks Drives Suite 100
Sacramento, CA 95833

PROOF OF PUBLICATION
(California Code of Civil Procedure 2010, 2015.5)

STATE OF CALIFORNIA
County of Los Angeles


I am a citizen of the United States and a resident of the aforesaid County. I am over the age of eighteen years (18) years, and not a party to or interested in the above-entitled matter. I am the Principal Clerk of the printer of the **LOS ANGELES TIMES**, a newspaper of general circulation, printed and published DAILY in the City of Los Angeles, County of Los Angeles and which newspaper was adjudged a newspaper of general circulation by the Superior Court of the County of Los Angeles, State of California, under the date of April 28, 1952, Case Number 598599. The notice, a true and correct copy of which is annexed, has been published in each regular and entire issue of said newspaper on the following dates, to wit:

FRIDAY ; AUGUST 5, 2011

I certify (or declare) under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Dated at Los Angeles, California,

This 5 day of August 2011



Signature

David Quintanilla

STATE OF CALIFORNIA - DEPARTMENT OF
COMMUNITY SERVICES AND DEVELOPMENT
NOTICE OF PUBLIC HEARING: DRAFT ABBREVIATED
LOW-INCOME HOME ENERGY ASSISTANCE
PROGRAM (LIHEAP) STATE PLAN APPLICATION FOR
FISCAL YEAR (FFY) 2012

A public hearing to receive comments on the Draft
Abbreviated LIHEAP State Plan Application for FFY 2012
is scheduled for Tuesday, August 16, 2011 at 10:00 a.m. at
the Department of Community Services and Development,
Sinex Conference Room, 2389 Gateway Oaks Drive,
Sacramento, CA 95833. Persons presenting oral testimony
are requested to provide a written statement of their
presentation at the conclusion of their testimony. If unable
to attend, send written comments to: Department of
Community Services and Development, P.O. Box 1947,
Sacramento, CA 95812-1947. Attention: Kathy Andry,
Senior Manager, Energy and Environmental Services
Division. Written comments will be accepted until 5:00
p.m., August 16, 2011. A copy of the Draft LIHEAP
Abbreviated State Plan Application is available by
accessing CSD's web site: <http://www.csd.ca.gov>, under
"WHAT'S NEW". NOTICE: Americans with Disabilities
Act: Individuals who, because of a disability, need special
assistance to attend the public hearing, may request
assistance by calling Rebecca Smith at (916) 576-7109.
Requests should be made at least five working days in
advance.

In the Superior Court of the State of California
in and for the County of Shasta

CERTIFICATE OF PUBLICATION
RECORD SEARCHLIGHT

CALIF DEPT OF ENERGY SERVICES
2389 GATEWAY OAKS DR STE 100
SACRAMENTO CA 95833

REFERENCE: 00610725 MARY RHINE
6747123 STATE OF CALIFORNIA

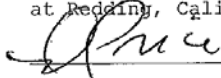
State of California
County of Shasta

I hereby certify that the Record Searchlight is a newspaper of general circulation within the provisions of the Government Code of the State of California, printed and published in the City of Redding, County of Shasta, State of California; that I am the principal clerk of the printer of said newspaper; that the notice of which the annexed clipping is a true printed copy was published in said newspaper on the following dates, to wit;

PUBLISHED ON: 08/05

FILED ON: 08/05/11

I certify under penalty of perjury that the foregoing is true and correct,
at Redding, California on the above date.



RECORD SEARCHLIGHT
1101 Twin View Blvd, Redding, CA 96003

STATE OF CALIFORNIA - DEPARTMENT OF
COMMUNITY SERVICES AND DEVELOPMENT
NOTICE OF PUBLIC HEARING- DRAFT ABBREVIATED
LOW-INCOME HOME ENERGY ASSISTANCE PROGRAM
(LIHEAP) STATE PLAN APPLICATION for
FISCAL YEAR (FFY) 2012

A public hearing to receive comments on the Draft
Abbreviated LIHEAP State Plan Application for FFY 2012 is
scheduled for Tuesday, August 16, 2011 at 10:00 a.m. at
the Department of Community Services and Development,
Sixth Conference Room, 2389 Gateway Oaks Drive,
Sacramento, CA 95833. Persons presenting oral testimony
are requested to provide a written statement of their
presentation at the conclusion of their testimony. If unable
to attend, send written comments to: Department of
Community Services and Development, P.O. Box 1947,
Sacramento, CA 95812-1947. Attention: Kathy Andry,
Senior Manager, Energy and Environmental Services
Division. Written comments will be accepted until 5:00
p.m., August 16, 2011. A copy of the Draft LIHEAP
Abbreviated State Plan Application is available by access-
ing CSD's web site, <http://www.csd.ca.gov>, under
"WHAT'S NEW". NOTICE: Americans with Disabilities Act
- Individuals who, because of a disability, need special
assistance to attend the public hearing, may request
assistance by calling Rebecca Smith at (916) 676-7100.
Requests should be made at least five working days in
advance.

August 5, 2011 6747123

The Sacramento Bee

P.O. Box 15779 • 2100 Q Street • Sacramento, CA 95852

CA DEPT OF COMMUNITY SERVICES
2389 GATEWAY OAKS DR #100
SACRAMENTO, CA 95833

DECLARATION OF PUBLICATION
(C.C.P. 2015.5)

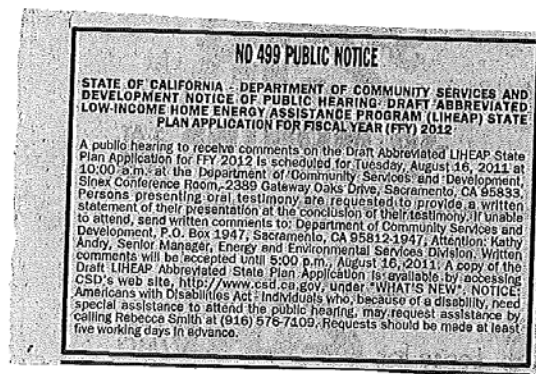
COUNTY OF SACRAMENTO
STATE OF CALIFORNIA

I am a citizen of the United States and a resident of the County aforesaid; I am over the age of eighteen years, and not a party to or interested in the above entitled matter. I am the printer and principal clerk of the publisher of The Sacramento Bee, printed and published in the City of Sacramento, County of Sacramento, State of California, daily, for which said newspaper has been adjudged a newspaper of general circulation by the Superior Court of the County of Sacramento, State of California, under the date of September 26, 1994, Action No. 379071; that the notice of which the annexed is a printed copy, has been published in each issue thereof and not in any supplement thereof on the following dates, to wit:

August 5, 2011

I certify (or declare) under penalty of perjury that the foregoing is true and correct and that this declaration was executed at Sacramento, California, on **August 5, 2011**


(Signature)



GRANTEE: Department of Community Services and Development FY2012

Attachment Three: Hearing Transcript

California State Hearing Reporter

BEFORE THE
DEPARTMENT OF COMMUNITY
SERVICES AND DEVELOPMENT
STATE OF CALIFORNIA

DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT
2389 GATEWAY OAKS DRIVE
SACRAMENTO, CALIFORNIA
TUESDAY, AUGUST 16, 2011
10:00 A.M.

 ORIGINAL

TIFFANY C. KRAFT, CSR
CERTIFIED SHORTHAND REPORTER
LICENSE NUMBER 12277

CALIFORNIA REPORTING, LLC
(415) 457-4417

APPEARANCES

HEARING OFFICER

Ms. Mary Rhine

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	<u>PAGE</u>
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Adjournment	1
Reporter's Certificate	2

PROCEEDINGS

1
2 HEARING OFFICER RHINE: Good morning. I'm Mary
3 Rhine of the Department of Community Services and
4 Development. I'm the Hearing Officer for today's public
5 hearing on the 2012 Draft Abbreviated LIHEAP Plan
6 Application.

7 Today is Tuesday, August 16th, 2011. The time is
8 10:00 a.m.

9 We are assembling at the Department of
10 Communities Services and development, specifically the
11 Sinex Conference Room on the second floor, to conduct a
12 public hearing to receive testimony from interested
13 parties regarding the 2012 Draft Abbreviated LIHEAP State
14 Plan.

15 The hearing is being recorded by a court
16 reporter, Tiffany Kraft.

17 Is there anyone that has testimony at this time?

18 No. No comments. It appears that there are no
19 comments. This public hearing is considered closed.

20 CSD will receive written testimony until 5:00
21 p.m. today, August 16th, 2011. The time is now 10:01.

22 (Thereupon the hearing concluded.)
23
24
25

California Reporting, LLC

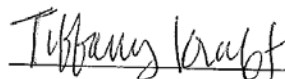
CERTIFICATE OF REPORTER

I, TIFFANY C. KRAFT, a Certified Shorthand Reporter of the State of California, and Registered Professional Reporter, do hereby certify:

That I am a disinterested person herein; that the foregoing hearing was reported in shorthand by me, Tiffany C. Kraft, a Certified Shorthand Reporter of the State of California, and thereafter transcribed into typewriting.

I further certify that I am not of counsel or attorney for any of the parties to said hearing nor in any way interested in the outcome of said hearing.

IN WITNESS WHEREOF, I have hereunto set my hand this 17th day of August, 2011.



TIFFANY C. KRAFT, CSR

Certified Shorthand Reporter

License No. 12277

California Reporting, LLC

ATTACHMENT 5

SAMPLE PROGRAM INTEGRITY ASSESSMENT SUPPLEMENT TEMPLATE

Low Income Home Energy Assistance Program (LIHEAP)

ABSTRACT:

HHS is requiring further detail from Grantees on their FY2012 plans for preventing and detecting fraud, abuse, and improper payments. HHS is also requiring that Grantees highlight and describe all elements of this FY2012 plan which represent improvements or changes to the Grantees' FY2011 plan for preventing and detecting fraud, abuse and improper payment prevention.

Instructions: *Please provide full descriptions of the Grantee's plans and strategy for each area, and attach/reference excerpts from relevant policy documents for each question/column. Responses must explicitly explain whether any changes are planned for the new FY.*

State, Tribe or Territory (and grant official): California		Date/Fiscal Year: 9/1/11 2011/2012	
RECENT AUDIT FINDINGS			
Describe any audit findings of material weaknesses and reportable conditions, questioned costs and other findings cited in FY2011 or the prior three years, in annual audits, Grantee monitoring assessments, Inspector General reviews, or other Government Agency reviews of LIHEAP agency finances.	Please describe whether the cited audit findings or relevant operations have been resolved or corrected. If not, please describe the plan and timeline for doing so in FY2012.	If there is no plan in place, please explain why not.	Necessary outcomes from these systems and strategies
<i>Please refer to Attachment 1 for audit results</i>	All recommendations have been addressed	NA	<i>The timely and thorough resolution of weaknesses or reportable conditions as revealed by the audit.</i>

Attachment – page 1

According to the Paperwork Reduction Act Of 1995 (Pub. L. 104-13), public reporting burden for this collection of information is estimated to average 1 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

ATTACHMENT 5

COMPLIANCE MONITORING			
Describe the Grantee's FY 2011 strategies that will continue in FY 2012 for monitoring compliance with State and Federal LIHEAP policies and procedures by the Grantee and local administering agencies.	Please highlight any strategies for compliance monitoring from your plan which will be newly implemented as of FY 2012.	If you don't have a firm compliance monitoring system in place for FY 2011, please describe how the State is verifying that LIHEAP policy and procedures are being followed.	Necessary outcomes from these systems and strategies
<p><i>CSD conducts on-site compliance monitoring of LIHEAP agencies every other year, and performs quarterly desk reviews. The general scope for 2011 CSD Energy Programs on-site monitoring includes, but is not limited to, the following areas:</i></p> <p>Administrative Review</p> <ul style="list-style-type: none"> o Board membership and board meeting minutes evaluation o Review of separation of duties o Review and verify adherence to conflict of interest, procurement, inventory, and record retention policies <p>Subcontractor Oversight Review</p> <ul style="list-style-type: none"> o Review subcontractor agreement to ensure compliance with LIHEAP contract requirements o Verify that contractor has adequate subcontractor oversight <p>Fiscal and Performance Review</p> <ul style="list-style-type: none"> o Validate claims for reimbursements o Obtain and evaluate cost allocation plan o Verify and evaluate billing process <p>Programmatic Review</p> <ul style="list-style-type: none"> o Verify resolution of prior monitoring findings and implementation of recommendations o Conduct client file review to verify client and dwelling eligibility o Address issue or concerns identified during the course of the year such as client complaints or audit concerns o Review training logs for updates and verification of completion <p>Quarterly Desk Review</p> <p><i>Field monitors conduct quarterly desk reviews to actively monitor agency expenditure performance, resolution of corrective actions, reporting requirements and data discrepancies.</i></p>	No changes anticipated for FY2012	NA	A sound methodology, with a schedule for regular monitoring and a more effective monitoring tool to gather information.

ATTACHMENT 5

FRAUD REPORTING MECHANISMS			
For FY 2011 activities continuing in FY 2012, please describe all (a) mechanisms available to the public for reporting cases of suspected LIHEAP fraud, waste or abuse [These may include telephone hotlines, websites, email addresses, etc.]; (b) strategies for advertising these resources.	Please highlight any tools or mechanisms from your plan which will be newly implemented in FY 2012, and the timeline for that implementation.	If you don't have any tools or mechanisms available to the public to prevent fraud or improper payments, please describe your plan for involving all citizens and stakeholders involved with your program in detecting fraud.	Necessary outcomes of these strategies and systems
<i>The Department operates a toll free line available to the public to receive information regarding possible fraud.</i>	No change anticipated for FY2012	NA	<i>Clear lines of communication for citizens, grantees, clients, and employees to use in pointing out potential cases of fraud or improper payments to State administrators.</i>
Please refer to CSD's website www.csd.ca.gov			
VERIFYING APPLICANT IDENTITIES			
Describe all FY 2011 Grantee policies continuing in FY2012 for how identities of applicants and household members are verified.	Please highlight any policy or strategy from your plan which will be newly implemented in FY 2012.	If you don't have a system in place for verifying applicant's identities, please explain why and how the Grantee is ensuring that only authentic and eligible applicants are receiving benefits.	Necessary outcomes from these systems and strategies
<i>CSD uses the SSN as an identifier, therefore, the SSN is requested from all applicants. However, it is not a requirement to receive services. An applicant may refuse to submit their SSN. If no SSN is submitted then a picture ID is required to verify identity. Names, SSN and date of birth are not required for all household members only for the applicant. The SSN is not verified other than the Death Match File.</i>	No new policy anticipated for FY 2012	NA	<i>Income and energy supplier data that allow program benefits to be provided to eligible individuals.</i>
Please refer to CSD's website www.csd.ca.gov ; link to the LIHEAP Verification and Eligibility Guide, Citizenship and Alien Status for Public Agencies, pages 9-11 and 20-21			

ATTACHMENT 5

SOCIAL SECURITY NUMBER REQUESTS			
Describe the Grantee's FY 2012 policy in regards to requiring Social Security Numbers from applicants and/or household members applying for LIHEAP benefits.	Please describe whether the State's policy for requiring or not requiring Social Security numbers is new as of FY2012, or remaining the same.	If the Grantee is not requiring Social Security Numbers of LIHEAP applicants and/or household members, please explain what supplementary measures are being employed to prevent fraud.	Necessary outcomes from these systems and strategies
<p><i>Intake and data entry occurs at the local level. SSNs are optional but are still requested from all applicants. It is not required of other household members. If the applicant refuses to submit their SSN, the applicant's identity must be established through a picture ID and then the intake form and all supporting documents are faxed to CSD to be researched, a 9 digit number is assigned and faxed back to the agency, who will enter the application using the 9 digit number in place of a SSN.</i></p>	No changes anticipated for FY2012	NA	All valid household members are reported for correct benefit determination.
Please refer to CSD's website www.csd.ca.gov ; link to the Verification and Eligibility Guide, Processing Applications without a Social Security Number, page 20 and 21.			
CROSS-CHECKING SOCIAL SECURITY NUMBERS AGAINST GOVERNMENT SYSTEMS/DATABASES			
Describe if and how the Grantee used existing government systems and databases to verify applicant or household member identities in FY 2011 and continuing in FY 2012. (Social Security Administration Enumeration Verification System, prisoner databases, Government death records, etc.)	Please highlight which, if any, policies or strategies for using existing government databases will be newly implemented in FY 2012.	If the Grantee won't be cross checking Social Security Numbers and ID information with existing government databases, please describe how the Grantee will supplement this fraud prevention strategy.	Necessary outcomes from these systems and strategies
<p><i>CSD's database uses the Death Match file from SSA to verify all SSNs/last names for the applicant only. The audit is performed twice, once at data entry and again just prior to approval for payment. If a match occurs, the database will not accept entry of that SSN. Agencies must research and follow up to make necessary corrections. If an error has occurred on the SSA file, CSD can temporarily override and accept the SSN. It is then imperative that the client contact SSA and correct the error.</i></p>	No new policy anticipated for FY 2012	NA	Use of all available database systems to make sound eligibility determination.

ATTACHMENT 5

VERIFYING APPLICANT INCOME			
Describe how the Grantee or designee used State Directories of new hires or similar systems to confirm income eligibility in FY 2011 and continuing in FY 2012.	Please highlight any policies or strategies for using new hire directories which will be newly implemented in FY 2012.	If the Grantee won't be using new hire directories to verify applicant and household member incomes how will the Grantee be verifying the that information?	Necessary outcomes from these systems and strategies
Currently CSD does not use the State Directories for new hires to confirm income eligibility. Eligibility is based on the stated income amount and supporting documentation submitted by the applicant. New for 2011 any member of the household 18 years or older is required to sign a self certification form if they report no income. Earned income from a minor under 18 is excluded. Other exclusions apply as required by federal law.	No changes anticipated for FY2012	NA	Effective income determination achieved through coordination across program lines.
Please refer to CSD's website www.csd.ca.gov ; link to the Verification and Eligibility Guide, Client File Documentation and Income Verification, pages 22-45			
PRIVACY-PROTECTION AND CONFIDENTIALITY			
Describe the financial and operating controls in place in FY 2011 that will continue in FY 2012 to protect client information against improper use or disclosure.	Please highlight any controls or strategies from your plan which will be newly implemented as of FY 2012.	If you don't have relevant physical or operational controls in place to ensure the security and confidentiality of private information disclosed by applicants, please explain why.	Necessary outcomes from these systems and strategies
Sub-grantees are contractually bound to maintain the confidentiality of all LIHEAP applicant and household information. CSD Field Representatives monitors verify confidentiality procedures during field visits. All CSD employees must sign and follow the Computer Security Policy.	No new policy anticipated for FY 2012	NA	Clear and secure methods that maintain confidentiality and safeguard the private information of applicants.
Please refer to CSD's website www.csd.ca.gov ; link to the Verification and Eligibility Guide, Confidentiality of Social Security Numbers and Client File Documentation page 22, also refer to Attachment 2 , 3 and 6			

ATTACHMENT 5

LIHEAP BENEFITS POLICY			
Describe FY 2011 Grantee policies continuing in FY 2012 for protecting against fraud when making payments, or providing benefits to energy vendors on behalf of clients.	Please highlight any fraud prevention efforts relating to making payments or providing benefits which will be newly implemented in FY 2012.	If the Grantee doesn't have policy in place to protect against improper payments when making payments or providing benefits on behalf of clients, what supplementary steps is the Grantee taking to ensure program integrity.	Necessary outcomes from these systems and strategies
<i>CSD's database has validations for preventing duplicate service address, name, SSN, phone number and utility account number for the utility receiving the benefit. 97% of all benefits are directly sent to utility companies to be applied to customer accounts. Utility companies return benefits to CSD that could not be credited to the appropriate accounts. The remaining 3% of benefits are issued to individuals with utilities included in rent and customers of non-direct payment utilities in the form of a paper warrant, which is audited by the State Controller's Office.</i>	No new policy anticipated for FY 2012	NA	<i>Authorized energy vendors are receiving payments on behalf of LIHEAP eligible clients.</i>
PROCEDURES FOR UNREGULATED ENERGY VENDORS			
Describe the Grantee's FY 2011 procedures continuing in FY 2012 for averting fraud and improper payments when dealing with bulk fuel dealers of heating oil, propane, wood and other un-regulated energy utilities.	Please highlight any strategies policy in this area which will be newly implemented in FY 2012.	If you don't have a firm plan for averting fraud when dealing with unregulated energy vendors, please describe how the Grantee is ensuring program integrity.	Necessary outcomes from these systems and strategies
<i>CSD 416 Annual ECIP/HEAP Home Energy Supplier Assurance, completed by all non regulated vendors, assures that all non-regulated companies will follow the provisions as federally-mandated under the LIHEAP program in regard to energy fuels and related services provided to eligible households. CSD 415 Payment Request and Confirmation - completed by the vendor, confirms that the clients' account has been credited. Sub grantees are required to notify applicant of the benefit amount they will be receiving. CSD Field Representatives monitor to verify that the forms are completed and retained in the client file.</i>	No changes anticipated for FY2012	NA	<i>Participating vendors are thoroughly researched and inspected before benefits are issued.</i>
See Attachment 4 and 5			

ATTACHMENT 5

VERIFYING THE AUTHENTICITY OF ENERGY VENDORS			
Describe Grantee FY 2011 policies continuing in FY 2012 for verifying the authenticity of energy vendors being paid under LIHEAP, as part of the Grantee's procedure for averting fraud.	Please highlight any policies for verifying vendor authenticity which will be newly implemented in FY 2012.	If you don't have a system in place for verifying vendor authenticity, please describe how the Grantee can ensure that funds are being distributed through valid intermediaries?	Necessary outcomes from these systems and strategies
<i>CSD documents authenticity of energy vendors by collecting the Federal Employer ID number for gas and electric vendors</i>	No changes anticipated for FY2012	NA	<i>An effective process that effectively confirms the existence of entities receiving federal funds.</i>
TRAINING AND TECHNICAL ASSISTANCE			
In regards to fraud prevention, please describe elements of your FY 2011 plan continuing in FY 2012 for training and providing technical assistance to (a) employees, (b) non-governmental staff involved in the eligibility process, (c) clients, and (d) energy vendors.	Please highlight specific elements of your training regiment and technical assistance resources from your plan which will represent newly implemented in FY 2012.	If you don't have a system in place for anti-fraud training or technical assistance for employees, clients or energy vendors, please describe your strategy for ensuring all employees understand what is expected of them and what tactics they are permitted to employ.	Necessary outcomes from these systems and strategies
<i>Mandatory fraud prevention training is provided to all CSD staff. All CSD staff must sign the Computer Security Policy accepting responsibilities regarding computer security. CSD conducts webinars and trainings on written policy and program requirements to ensure sub grantees are aware of implementation requirements to prevent instances of fraud.</i>	No changes anticipated for FY2012	NA	<i>The timely and thorough resolution of weaknesses or reportable conditions as revealed by the audit.</i>
See Attachment 6			

ATTACHMENT 5

AUDITS OF LOCAL ADMINISTERING AGENCIES			
Please describe the annual audit requirements in place for local administering agencies in FY 2011 that will continue into FY 2012.	Please describe new policies or strategies to be implemented in FY 2012.	If you don't have specific audit requirements for local administering agencies, please explain how the Grantee will ensure that LIHEAP funds are properly audited under the Single Audit Act requirements.	Necessary outcomes from these systems and strategies
<p><i>Single Audit Act</i> - Agencies are required to submit Single Audit Report(SAR) in accordance with the provisions of Office of Management and Budget (OMB) Circular A-133, "Audits of States, Local - Governments, and Non-Profit Organizations," Subpart D, Section 400(d), published June 27, 2003.</p> <p>- Administering agencies are required to review the SAR within six months of receipt</p> <p>- Program specific audits are required for agencies falling below the OMB 133 threshold</p>	No changes anticipated for FY2012	NA	<p><i>Reduce improper payments, maintain local agency integrity, and benefits awarded to eligible households.</i></p>
Please refer to CSD's website www.csd.ca.gov ; link to 2011 LIHEAP Contract pages A3, C1, and D5.			

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Additional Information

Please attach further information that describes the Grantee's Program Integrity Policies, including supporting documentation from program manuals, including pages/sections from established LIHEAP policies and procedures.

PROGRAM INTEGRITY ASSESSMENT SUPPLEMENT

Attachment 1

Recent Audit Findings

Prior Year Audit Finding Resolutions

4700 - Department of Community Services and Development

Finding Number	Federal Program	Category of Finding	Finding Summary	Status of Corrective Action (Please see legend below for definitions)			
				Fully Corrected (✓ only)	Partially Corrected	Corrective Action Plan (Provide details)	Date Fully Corrected
2009-5-8	93.568	Eligibility	Local agencies did not always maintain sufficient documentation such as applicants' monthly income or citizenship status to substantiate their assistance eligibility determinations. Also, CSD allows flexibility when calculating monthly income amounts which could lead to local agencies inappropriately approving applicants whose monthly income would otherwise make them ineligible for assistance. Also, public local agencies did not always obtain sufficient citizenship documents for applicants.	✓		Develop tools to assist intake workers with acceptable documentation	5/12/2010
2009-7-13	93.568	Earmarking	Community Services lacks sufficient internal controls to ensure that it meets earmarking requirements. Community Services does not have a mechanism in place to track final expenditures related to earmarking requirements.		✓	CSD will phase-in an enhancement to an application system (i.e., Expenditure Activity Reporting System) that will automatically monitor, track and report on the level of earmark usage per program, contract and program year.	
2009-9-7	93.568	Procurement and Suspension and Debarment	Community Services did not comply with the suspension and debarment requirements in the Administration for Children and Families grants' terms and conditions. Community Services did not consult the federal Excluded Parties List System (EPLS) to ensure that the subrecipients were eligible for funding before it disbursed funds to them.	✓		CSD has issued a directive that contracts analyst will annually or at the start of a new contractor's term with CSD verify that the firm and any principals and board members are not included on the Excluded Parties List System by verifying via http://www.epls.gov .	6/14/2010
2009-12-19	93.568	Reporting	Community Services lacks adequate internal controls to ensure that proper federal reporting requirements are met. Community Services' policies and written procedures do not include procedures to reconcile the federal share of program outlays from spreadsheets to official accounting records.		✓	CSD has contracted with Cooperative Personnel Services (CPS) to develop Policies and Procedures for the Department. In addition, CPS will train CSD staff to maintain and update policies and procedures.	

Finding Number	Federal Program	Category of Finding	Finding Summary	Fully Corrected (✓ only)	Partially Corrected	Corrective Action Plan (Provide details)	Date Fully Corrected
2009-14-3	93.568	Subrecipient Monitoring	Community Services' audit services unit (ASU) did not always ensure that it issued management decisions on audit findings within six months of receipt of subrecipients' OMB Circular A-133 reports.		✓	In May 2010, CSD entered into a contract with the Department of Finance to assist in meeting its obligation to review single audits within the required six months.	

LEGEND FOR STATUS OF CORRECTIVE ACTION	
FULLY CORRECTED: If audit findings were fully corrected and the recommendation(s) were implemented, explain what steps were taken to correct the finding. If the finding is no longer valid, please describe the circumstances. If corrective action is significantly different from corrective action previously reported in the fiscal year 2008-09 Single Audit Report, then provide an explanation. If this category is not applicable, please such with N/A.	
PARTIALLY CORRECTED: If audit findings are partially corrected, describe the planned corrective action as well as any partial corrective action taken. If corrective action is significantly different from corrective action previously reported in the fiscal year 2008-09 Single Audit Report, then provide an explanation. If this category is not applicable, please indicate such with N/A.	

PROGRAM INTEGRITY ASSESSMENT SUPPLEMENT

Attachment 2

Privacy-Protection and Confidentiality

MANAGEMENT MEMO

SUBJECT: SAFEGUARDING AGAINST AND RESPONDING TO A BREACH OF SECURITY INVOLVING PERSONAL INFORMATION	NUMBER: MM 08-11
	DATE ISSUED: NOVEMBER 6, 2008
	EXPIRES: UNTIL RESCINDED
REFERENCES: CALIFORNIA INFORMATION PRACTICES ACT OF 1977 (CIVIL CODE SECTIONS 1798 ET. SEQ); STATE ADMINISTRATIVE MANUAL (SAM) SECTIONS 5100 AND 5300 THROUGH 5399	ISSUING AGENCY: OFFICE OF INFORMATION SECURITY AND PRIVACY PROTECTION

BACKGROUND AND PURPOSE

Government Code section 11549.3 charges the Office of Information Security and Privacy Protection (OISPP) with responsibility for the creation, updating, and publishing of information security and privacy policies, standards, and procedures directing state agencies to effectively manage security and risk for information and information technology (as defined).

The purpose of this Management Memo (Memo) is to announce a new policy requirement and procedural directive related to a state agency's response to a breach of security involving personal information. It also serves to reinforce state agency responsibilities under existing law and state policy for safeguarding personal information collected, used, maintained, and/or held in custodianship in conjunction with the administration of state programs and services, and to clarify existing security incident management policies and procedures.

Safeguarding against and preventing security breaches involving personal information is essential to maintaining the public's trust in government. Failure to protect personal information can place people in jeopardy in a variety of ways, including identity theft, damage to reputation, and physical injury.

While ultimate responsibility rests with agency heads, every employee plays a role in the protection of personal information. This Memo should receive the widest possible distribution within state agencies, and each organization and individual must understand their specific responsibilities for implementing and complying with information security and privacy requirements and procedures.

GENERAL POLICY

Longstanding policies articulated in State Administrative Manual (SAM) and law, including but not limited to SAM Sections 5100 and 5300 through 5399, and the California Information Practices Act (IPA) of 1977 (Civil Code sections 1798 et seq.), require all state agencies to establish:

- Ongoing data inventory and classification procedures for all records held by the agency. (SAM section 5320.5 and Chapter 1600).
- Administrative, technical, and physical safeguards to appropriately ensure the security (confidentiality, integrity, and availability) of those records and to protect against anticipated threats or hazards that could result in any injury. (SAM sections 5310 and 5325, and Civil Code section 1798.21).
- Rules of conduct for any person involved in the design, development, operation, use, disclosure, maintenance, and destruction of records

STATE ADMINISTRATIVE MANUAL

containing personal information. (Management Memo 06-12, SAM sections 5310 and 5325, and Civil Code section 1798.20).

- Ongoing training and instruction to any persons involved in the design, development, operation, use, disclosure, maintenance, and destruction of records containing personal information about the rules and consequences of noncompliance. (SAM section 5325 and Civil Code section 1798.20).
- Encryption of portable computing devices and media that contain confidential, personal and sensitive information. (SAM section 5345.2)
- Use of the American National Standards Institute (ANSI) management information standards and the Federal Information Processing Standards (FIPS) in their information management planning and operations. (SAM section 5100). The ANSI standards are national consensus standards that provide guidance on a variety of issues central to the public and industrial sectors. Under the Information Technology Management Reform Act (Public Law 104-106), the Secretary of Commerce approves standards and guidelines that are developed by the National Institute of Standards and Technology (NIST) for Federal computer systems. These standards and guidelines are issued by NIST as FIPS for use government-wide. NIST develops FIPS when there are compelling Federal government requirements such as for security and interoperability and there are no acceptable industry standards or solutions. Guidance documents and requirements for implementing these standards include, without limitation, those related to the [validation of cryptographic modules](#) found in encryption products used for the protection of confidential, personal, or sensitive information.
- A process to ensure individuals are notified when a security breach involving their personal information has occurred. (SAM section 5350.3 and Civil Code section 1798.29).

PERSONAL INFORMATION DEFINED

The IPA broadly defines personal information in Civil Code section 1798.3 as "any information that is maintained by the agency that identifies or describes an individual, including, but not limited to, his or her name, social security number, physical description, home address, home telephone number, education, financial matters, and medical or employment history. It includes statements made by or attributed to, the individual."

For purposes of both the legal and state policy breach notification requirements, the subset of personal information as defined in Civil Code section 1798.29, subsections (e) through (f) is used and hereinafter referred to as "notice-triggering" information.

EXISTING SAFEGUARD REQUIREMENTS

The following are particularly important requirements within the existing legal and policy framework that state agencies should already have implemented to safeguard personal information:

1. Rules and Controls Limiting Access. Agencies must ensure that their access control policies and practices support the principle of "least privilege" and appropriate segregation of duties. Least privilege refers to the granting of employee access to personal information or systems based

on a legitimate business need to access the information in the performance of their job duties (refer to [Chapter 16, of NIST SP-800-12, An Introduction to Computer Security](#)). Agencies must also implement controls to detect and deter misuse, unauthorized access, or access that exceeds the limits of an employee's authorized access. For example, an employee may, by virtue of his or her job-related duties, have access to all records in a particular database or system, including records that may be held by the agency about those personally known to him or her (e.g., friends, family members, neighbors, etc.). However, that employee should not access those records unless specifically assigned a job-related duty in support of the processing or handling of such records. Agencies must also employ, to the extent practical, technical controls to automate compliance with these requirements. (SAM sections 5100, 5335.1, 5335.2, 5340, and 20050).

2. Employee Training. **Before** permitting access to agency information and information systems, agencies must train all employees (including managers and contracted staff) about their privacy and security responsibilities. Supervisors must also be trained about their role and responsibilities for providing day-to-day instruction, training and supervision of staff regarding their obligation to safeguard personal information. Thereafter, agencies must train employees at least once annually to ensure employees continue to understand their responsibilities. Additional or advanced training should also be provided commensurate with increased responsibilities or changes in duties. Both initial and refresher training must cover acceptable rules of behavior and the consequences when rules are not followed. For agencies implementing telecommuting or telework, and other authorized remote access programs, training must include the rules of such programs. (SAM section 5325 and Civil Code section 1798.20).
3. Signed Acknowledgements. Agencies must ensure that all individuals with authorized access to personal information sign an acknowledgement at least once each year to demonstrate both their receipt of the rules and requisite training, as well as their understanding of the consequences for failure to follow the rules. (SAM section 5325).
4. Written Agreements with Third Parties. Agencies must ensure that when personal information is shared with third parties, it is either specifically permitted or required by law and that a written agreement is executed between the parties. The written agreement is to identify the applicable Federal and state laws, as well as all departmental policies, standards, procedures, and security controls that must be implemented and followed by the third party to adequately protect the information. The agreement must also require the third party, and any of its sub-contractors with whom they are authorized to share the data, to share only the minimum personal information necessary, to securely return or destroy the personal information upon expiration of the contract, and to provide immediate notification to the state agency, and to individuals when appropriate, whenever there is a breach of personal information. (SAM sections 5310 and 5320.3, and Civil Code section 1798.19).
5. Encryption. Agencies must encrypt all confidential, personal, or sensitive data on mobile devices or media whenever that type of information is

authorized for use on such devices or media, using only NIST certified cryptographic modules (FIPS 140-2 validated products). (SAM sections 5100 and 5345.2).

6. Review and Reduce Current Personal Information Holdings. Agencies must review current holdings of all records containing personal information and ensure to the maximum extent practical, such holdings are reduced to the minimum necessary for the proper performance of a documented agency function. (Civil Code section 1798.14).
7. Review Current Forms and Other Methods of Personal Information Collection. Agencies must review all current forms, paper, and any other methods (e.g., online or telephony) used to collect personal information, to ensure the specific authority or authorization to collect such information exists, and appropriate notice is included on or with any such forms. (Civil Code section 1798.17).
8. Eliminate Unnecessary Collection and Use. When in the course of such reviews, the collection of personal information is no longer necessary for an authorized business purpose, agencies shall ensure that its collection is discontinued, and that the forms or any other methods used to collect this information are properly retired, revised, or replaced. (Civil Code section 1798.14).
9. Explore Alternatives to the Use of Social Security Numbers. Many recently enacted privacy laws prohibit the use of Social Security numbers as personal identifiers in state systems, or specifically require truncation when they must be used. All state agencies should participate in government-wide efforts to explore alternatives to the use of Social Security numbers as a personal identifier for both recipients of state programs and services, and state employees. (Civil Code sections 1798.14 and 1798.85).
10. Review Internal Controls to Safeguard Personal Information. Agencies must ensure that their risk management practices and ongoing assessments and reviews include evaluations of the adequacy of controls implemented to safeguard personal information held by the agency, and its contractors, and its other custodians with whom data may be shared. Internal controls include "Information Technology" controls, as well as administrative controls. (SAM sections 5305 to 5305.2). Further, in accordance with the California Financial Integrity and State Manager's Accountability Act (FISMA) of 1983 (Government Code Sections 13400 through 13407), "internal accounting and administrative controls are the methods through which reasonable assurances can be given that measures adopted by state agency heads to safeguard assets, check accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence to prescribed managerial policies are being followed." To ensure the state FISMA requirements are fully complied with, the head of each state agency must conduct an internal review and report on the adequacy of its internal controls by December 31, of each odd numbered year to the Legislature, the State Auditor, the Governor, the Director of the Department of Finance, and the State Library. (SAM section 20060). An agency's review of personal information holdings, personal information collection methods, and internal controls to

safeguard personal information may be completed in conjunction with the agency's biennial FISMA review.

**EXISTING INCIDENT
MANAGEMENT AND
BREACH RESPONSE
REQUIREMENTS**

Existing state law and state policy require agencies to carry out the following incident management and breach response responsibilities:

1. Promptly investigate incidents involving the improper dissemination of information, or the loss, damage, or misuse of information assets. Incident management includes the formulation and adoption of an incident management plan that provides for the timely assembly of appropriate staff and their response to, reporting on, and recovery from a variety of incidents. Incident management also includes the application of lessons learned, and the determination of, and implementation of appropriate corrective actions to prevent or mitigate the risk of similar occurrences. (SAM sections 5350 and 8643).
2. Immediately report any security incident, including any breach of personal information as defined by Civil Code Section 1798.3 (includes non notice-triggering personal information) to the California Highway Patrol's Emergency Notification and Tactical Alert Center (ENTAC) at (916) 657-8287. (SAM sections 5350.2 and 8643, and Government Code section 14613.7).
3. Notify individuals when a breach of their personal information was, or is reasonably believed to have been acquired by an unauthorized person. Civil Code section 1798.29, sub-sections (e) through (f) specifically require notification to individuals in breaches of unencrypted computerized personal information of a specified type (which is referred to as "notice-triggering" information). Notice-triggering information includes the first name or first initial and last name in combination with any one or more of the following data elements:
 - a. Social Security number.
 - b. Driver's license number or California Identification Card number.
 - c. Account number, credit or debit card number, in combination with any required security code, access code, or password that would permit access to an individual's financial account.
 - d. Medical information (as defined).
 - e. Health insurance information (as defined).

While Civil Code section 1798.29 focuses on computerized data elements, the current state policy requires notification when a breach of an individual's personal information involves these same "notice-triggering" data elements or otherwise exposes individuals to substantial risk of harm, regardless of the data medium. (SAM section 5350.3).

4. Prepare and submit a written follow-up Agency Security Incident Report (SIMM 65C form) to OISPP, within ten (10) business days from the date of initial reporting to ENTAC, that describes what occurred, what steps or actions were taken to mitigate the risk of recurrence, and the cost associated with both the incident and any corrective action. (SAM sections 5350.3 and 5360.1).

STATE ADMINISTRATIVE MANUAL

NEW BREACH RESPONSE REQUIREMENTS AND PROCEDURAL DIRECTIVE

Effective immediately, any breach notification issued by a state agency, or the agency's contractor or custodian, in conjunction with a breach of state owned information assets must be submitted to OISPP for review and approval prior to its dissemination or release to affected individual(s). This process will help ensure consistency and clarity of notifications, as well as the accuracy of the privacy protection procedures and instructions provided in the notification.

While the decision to notify individuals ultimately rests with agency heads; when a breach occurs, agencies must seek guidance from, and consult with, the OISPP, as well as the agency's Legal Office, Information Security Officer and Privacy Officer/Coordinator regarding the means by which individuals will be notified.

In support of this policy, and to ensure state agencies understand their responsibilities for making notification to individuals affected by a breach, OISPP has also issued a new State Information Management Manual (SIMM) document as a procedural directive, entitled *SIMM 65D-Personal Information Breach Notification: Requirements and Decision-Making Criteria for State Agencies*. This document outlines the current breach notification requirements; the requirements for developing a protocol for internal notifications; identifies decision making criteria that must be included in a decision making procedure; and, provides a comprehensive checklist and notification templates to assist state agencies with response to a breach of personal information.

ROLES AND RESPONSIBILITIES

All state agencies and their employees, including contractors, state data custodians, and volunteer service workers, are required to adhere to these policies. Furthermore, state agencies are required to acknowledge the extent to which they are meeting these requirements in their Agency Risk Management and Privacy Program Certification, submitted annually to the OISPP. (SAM sections 5300.3, 5315.1, 5320 through 5320.4, and 5360.1).

"Agencies" includes all state agencies, departments, offices, boards, commissions, institutions, and special organizational entities unless otherwise specifically exempted by law or state policy reference. (SAM section 5300.2).

SAM AND SIMM UPDATES

Changes to the SAM will be forthcoming and will appear in the next update of the SAM. To see the substance of this policy change, you may refer to the following described documents on the OISPP Web site at: www.infosecurity.ca.gov:

1. Advance Copy of Changes to State Administrative Manual sections 5320.2, 5320.3, 5320.5, 5350, and 5350.4
2. SIMM 65D-Security Breach Involving Personal Information: Requirements and Decision Making Criteria for State Agencies

QUESTIONS

Questions regarding this Memo and related documents may be directed to OISPP at (916) 445-5239 or by email at Security@oispp.ca.gov

SIGNATURE

Original signed by Michael Saragoza, Undersecretary
For Rosario Marin, Secretary

Rosario Marin, Secretary
State and Consumer Services Agency

PROGRAM INTEGRITY ASSESSMENT SUPPLEMENT

Attachment 3

Privacy-Protection and Confidentiality

BUDGET LETTER

SUBJECT: SAFEGUARDING ACCESS TO STATE DATA	NUMBER: 04-35
REFERENCES: STATE ADMINISTRATIVE MANUAL SECTIONS 4840.4, 4841.2 4841.3	DATE ISSUED: November 16, 2004
	SUPERSEDES:

TO: Agency Secretaries
Department Directors
Departmental Budget Officers
Departmental Chief Information Officers
Departmental Information Security Officers
Department of Finance Budget Staff

FROM: DEPARTMENT OF FINANCE

Note: Budget Officers are requested to forward a copy of this Budget Letter (BL) to your department's Information Security Officers (ISOs) and department's Chief Information Officers (CIOs). The Finance State ISO Office will also distribute this BL separately to the ISOs and CIOs on the current contact list.

BACKGROUND

The Department of Finance (Finance) is responsible for establishing the framework for the State's information technology (IT) security policies and activities, and for IT security oversight. This BL expands upon and clarifies policy about protecting the State's information resources.

The State Administrative Manual (SAM) Section 4841.2, Information Integrity and Security, requires that each agency provide for the integrity and security of its automated files and databases. New policy in this section requires written agreements with vendors, consultants, or researchers before they are allowed access to State data.

Although some agencies already have practices in place that support these policies, it is critical that State data in all agencies be protected through good policy and practice.

POLICY

The following definition and policy are effective immediately. The changes will appear in the next update of the SAM. You may refer to Attachment I, "Advance Copy of Changes to State Administrative Manual Sections 4840.4 and 4841.2," to see the context of this policy change.

Definition:

Non-State Entity. A business, organization, or individual that is not a State entity, but requires access to State information assets in conducting business with the State. (This definition includes, but is not limited to, researchers, vendors, consultants, and their employees, and entities associated with federal and local government and other states.)

Policy:

Each agency must provide for the integrity and security of its information assets by ensuring that responsibility for each automated file or database is defined.

Every agency must establish appropriate policies and procedures for preserving the integrity and security of each automated file or database. This requirement includes the use of agreements with non-state entities, to cover, at a minimum, the following:

- Appropriate levels of confidentiality for the data, based on data classification (see SAM section 4841.3);
- Standards for transmission and storage of the data, if applicable;
- Agreement to comply with all State policy and law regarding use of information resources and data;
- Signed confidentiality statements;
- Agreement to apply security patches and upgrades, and keep virus software up-to-date on all systems on which the data may be used; and
- Agreement to notify the State data owners promptly if a security incident involving the data occurs.

CONTACTS AND QUESTIONS

You may call the State ISO Office at (916) 445-5239 if you have questions about this BL or about the practices.

/s/ Veronica Chung-Ng

Veronica Chung-Ng
Program Budget Manager

Attachment

Advance Copy of Changes to State Administrative Manual Sections 4840.4 and 4841.2

New text is in italics; nothing was deleted.

4840.4 DEFINITIONS

Confidential Information. Information maintained by state agencies that is exempt from disclosure under the provisions of the California Public Records Act (Government Code Sections 6250-6265) or other applicable state or federal laws. See SAM Section 4841.3.

Critical Application. An application that is so important to the agency that its loss or unavailability is unacceptable. With a critical application, even short-term unavailability of the information provided by the application would have a significant negative impact on the health and safety of the public or state workers; on the fiscal or legal integrity of state operations; or on the continuation of essential agency programs.

Custodian of Information. An employee or organizational unit (such as a data center or information processing facility) acting as a caretaker or an automated file or database.

Disaster. A condition in which an information asset is unavailable, as a result of a natural or man-made occurrence, that is of sufficient duration to cause significant disruption in the accomplishment of agency program objectives, as determined by agency management.

Hardening. A defense strategy to protect against attacks by removing vulnerable and unnecessary services, patching security holes, and securing access controls.

Information Assets. (1) All categories of automated information, including (but not limited to) records, files, and databases; and (2) information technology facilities, equipment (including personal computer systems), and software owned or leased by state agencies.

Information Integrity. The conditions in which information or programs are preserved for their intended purpose; including the accuracy and completeness of information systems and the data maintained within those systems.

Information Security. The protection of automated information from unauthorized access (accidental or intentional), modification, destruction, or disclosure.

Owner of Information. An organizational unit having responsibility for making classification and control decisions regarding an automated file or database.

Non-State Entity. *A business, organization, or individual that is not a State entity, but requires access to State information assets in conducting business with the State. (This definition includes, but is not limited to, researchers, vendors, consultants, and their employees, and entities associated with federal and local government and other states.)*

Physical Security. The protection of information processing equipment from damage, destruction or theft; information processing facilities from damage, destruction or unauthorized entry; and personnel from potentially harmful situations.

Advance Copy of Changes to State Administrative Manual Sections 4840.4 and 4841.2

Privacy. The right of individuals and organizations to control the collection, storage, and dissemination of information about themselves.

Public Information. Any information prepared, owned, used, or retained by a state agency and not specifically exempt from the disclosure requirements of the California Public Records Act (Government Code Sections 6250-6265) or other applicable state or federal laws.

Risk. The likelihood or probability that a loss of information assets or breach of security will occur.

Risk Analysis. The process of evaluating: (a) the vulnerability of information assets to various threats, (b) the costs or impact of potential losses, and (c) the alternative means of removing or limiting risks.

Risk Management. The process of taking actions to avoid risk or reduce risk to acceptable levels.

Sensitive Information. Information maintained by state agencies that requires special precautions to protect it from unauthorized modification, or deletion. See SAM Section 4841.3. Sensitive information may be either public or confidential (as defined above).

User of Information. An individual having specific limited authority from the owner of information to view, change, add to, disseminate or delete such information.

4841.2 INFORMATION INTEGRITY AND SECURITY

Each agency must provide for the integrity and security of its information assets by:

1. Identifying all automated files and databases for which the agency has ownership responsibility (see SAM Section 4841.4);
2. Ensuring that responsibility for each automated file or database is defined with respect to:
 - a. The designated owner of the information within the agency;
 - b. Custodians of information; and
 - c. Users of the information;
 - d. Ensuring that each automated file or database is identified as to its information class (SAM Section 4841.3) in accordance with law and administrative policy;
 - e. Establishing appropriate policies and procedures for preserving the integrity and security of each automated file or database including:
 1. *Agreements with non-state entities to cover, at a minimum, the following:*

Advance Copy of Changes to State Administrative Manual Sections 4840.4 and 4841.2

- a. Appropriate levels of confidentiality for the data based on data classification (see SAM Section 4841.3);*
 - b. Standards for transmission and storage of the data, if applicable;*
 - c. Agreement to comply with all State policy and law regarding use of information resources and data;*
 - d. Signed confidentiality statements;*
 - e. Agreement to apply security patches and upgrades, and keep virus software up-to-date on all systems on which data may be used; and*
 - f. Agreement to notify the State data owners promptly if a security incident involving the data occurs.*
 2. Identifying computing systems that allow dial-up communication or Internet access to sensitive or confidential information and information necessary for the support of agency critical applications;
 3. Auditing usage of dial-up communications and Internet access for security violations;
 4. Periodically changing dial-up access telephone numbers; and
 5. Responding to losses, misuse, or improper dissemination of information.
3. Establishing appropriate departmental policies and procedures to protect and secure IT infrastructure, including:
 - a. Technology upgrade policy, which includes, but is not limited to, operating system upgrades on servers, routers, and firewalls. The policy must address appropriate planning and testing of upgrades, in addition to departmental criteria for deciding which upgrades to apply.
 - b. Security patches and security upgrade policy, which includes, but is not limited to, servers, routers, and firewalls. The policy must address application and testing of the patches and/or security upgrades, in addition to departmental criteria for deciding which patches and security upgrades must be applied, and how quickly.
 - c. Firewall configuration policy, which must require creation and documentation of a baseline configuration for each firewall, updates of the documentation for all authorized changes, and periodic verification of the configuration to ensure that it has not changed during software modifications or rebooting of the equipment.
 - d. Server configuration policy, which must clearly address all servers that have any interaction with Internet, extranet, or intranet traffic. The policy must require creation and documentation of a baseline configuration for each server, updates of the documentation for all authorized changes, and periodic checking of the configuration to ensure that it has not changed during software modifications or rebooting of the equipment.

Advance Copy of Changes to State Administrative Manual Sections 4840.4 and 4841.2

- e. Server hardening policy, which must cover all servers throughout the department, not only those that fall within the jurisdiction of the department's IT area. The policy must include the process for making changes based on newly published vulnerability information as it becomes available. Further, the policy must address, and be consistent with, the department's policy for making security upgrades and security patches.

Each state data center must carry out these responsibilities for those automated files and databases for which it has ownership responsibility. See SAM Sections 4841.4 and 4841.5.

Oversight responsibility at the agency level for ensuring the integrity and security of automated files and databases must be vested in the agency Information Security Officer.

The head of each agency is responsible for compliance with the policy described in this section. See SAM Section 4841.1.

PROGRAM INTEGRITY ASSESSMENT SUPPLEMENT

Attachment 4

Procedures for Unregulated Energy Vendors

**ECIP/HEAP PAYMENT REQUEST AND CONFIRMATION
(NON-REGULATED UTILITY COMPANIES ONLY)**

To:	Utility Company's Name:	Attention:		
From:	Agency's Name:			Date of Request:
	Mailing Address:	City:	State:	Zip:
	Agency Contact Person:			Phone:

Instructions to non-regulated utility companies:

1. Once a client's account has been credited, enter the date in the "DATE CREDITED" column.
2. After all accounts have been credited, sign and date the form in the space provided below.
3. Return this form to the agency's contact person at the address identified above.

The following utility payments are being made on behalf of these clients:

	Name and Address of Client	Utility Account #	Payment Amount	Date Credited
1.			\$	
2.			\$	
3.			\$	
4.			\$	
5.			\$	
6.			\$	
7.			\$	
8.			\$	

UTILITY COMPANY CERTIFICATION

I hereby certify that the referenced accounts were credited in the amounts shown.

Name/Title	Signature of Approval	Date
------------	-----------------------	------

AGENCY USE ONLY

Total Payments	\$	Check Number	#
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ECIP/HEAP PAYMENT REQUEST AND CONFIRMATION
CSD 415 (Rev. 06/01/06)
Instructions

This form will be used by the agency and non-regulated utility company in compliance with Section 2605(b)(7), item (B) of the Low-Income Home Energy Assistance Act of 1981.

1. Agency completes the "To" section of the form entering the non-regulated utility company information.
2. Agency completes the "From" section of the form entering the agency's name, address, and contact person.
3. Agency enters the list of client information, including utility account # and amount of payment.
4. Agency enters "Total Payments" amount and the "Check Number" information which corresponds to data from Step 3.
5. Agency forwards form to identified non-regulated utility company for review and completion.
6. Upon return of form from utility company, Agency reviews and verifies the amount credited for each client.
7. Agency retains this form on file for monitoring purposes.

Contractor's equivalent form is allowed, but must be pre-approved by CSD.

PROGRAM INTEGRITY ASSESSMENT SUPPLEMENT

Attachment 5

Procedures for Unregulated Energy Vendors

**ANNUAL ECIP/HEAP HOME ENERGY SUPPLIER ASSURANCE
(NON-REGULATED UTILITY COMPANIES ONLY)**

The undersigned home energy supplier hereby agrees and assures to

Agency's Name

that it will comply with the following provisions as federally-mandated under the Low-Income Home Energy Assistance Program in regard to energy fuels and related services provided to eligible households:

1. No household receiving assistance under this program will be treated adversely because of such assistance under applicable provisions of State law or public regulatory requirements;
2. Not to discriminate, either in the cost of the goods supplied or in the services provided, against the eligible household on whose behalf payments are made; and
3. To allow representatives of the agency referenced above, and/or the State, access to records relating to payments to households for the purpose of verification of compliance with these assurances.

Utility Company

Name and Title (Please Print)

Telephone Number

Authorized Signature

Date

**ANNUAL ECIP/HEAP HOME ENERGY SUPPLIER ASSURANCE
(NON-REGULATED UTILITY COMPANIES ONLY)
CSD 416 (Rev. 6/1/06)
Instructions**

Use this form to comply with Section 2605(b)(7), items (C) and (D) of the Low-Income Home Energy Assistance Act of 1981.

1. Enter the agency name on the line provided.
2. This form must be provided to the non-regulated utility company for signature.
3. Once the form is returned from the non-regulated utility company, ensure that the form is signed and dated.
4. Retain this form for up to one year from the date of signature.
5. This form must be submitted to the non-regulated utility company for signature on an annual basis.
6. Please refer to <http://www.acf.hhs.gov/programs/liheap/guidance/statute/statute.html#Sec2605> for the regulation.

PROGRAM INTEGRITY ASSESSMENT SUPPLEMENT

Attachment 6

Training and Technical Assistance

State of California
Department of Community Services and Development

Health and Human Services Agency

Administrative Services Memo

	NUMBER 07-02
DISTRIBUTION ALL CSD EMPLOYEES	DATE ISSUED March 17th, 2009
SUBJECT COMPUTER SECURITY POLICY	EXPIRES Until amended, superseded, or withdrawn
REFERENCES California Civil Code Section 1798.29 45 C.F.R. Section 160.103 STATE ADMIN. MANUAL (SAM) Section 5300-5399, 8643, 8650, & 8651 Budget Letter BL 05-08 & BL 05-032 Management Memo 06-12 Adm. Serv. Memo #01-06	SUPERSEDES 05-02
INQUIRIES SHOULD BE DIRECT TO: Ed Lee, Chief Information Officer to elee@csd.ca.gov or 916-341-4314	
SIGNATURE: Original is Signed	

This policy is a reference document for employees to be familiar with a number of computer use topics such as Computer Security, Security Training Program, and Computer Safety. Along with providing direction, this policy is intended to instruct managers, supervisors, and employees about their information security responsibilities. Information in this policy is based on security requirements contained in the State Administrative Manual (SAM) Section 5300-5399 on Information Technology.

Included in the Computer Security Policy under Section III is the Computer Security and Confidentiality Statement. When completed, this statement complies with SAM Section 5325, which requires that each employee sign an acknowledgement of their computer security responsibilities. Please complete the following steps:

- * All supervisors and employees will read the Computer Security Policy to understand the Department's computer security policies and practices.
- * All personnel will sign and date the Computer Security and Confidentiality Statement.
- * Supervisors will also sign each form to confirm that all personnel have read and understood the policy.

- * All signed certifications will be maintained in the employee's personnel file in the Human Resources Office as documentation of compliance with the Department's policy and SAM Section 5325.

Departmental management is committed to keeping this policy as current as possible. Meeting this goal is a challenge since computer security is a rapidly changing field. If you have any questions or wish to discuss this guide in more detail, please contact the Department's Information Security Officer (ISO).

I. COMPUTER SECURITY INTRODUCTION

The Department of Community Services and Development (CSD) has established these policies and procedures to address computer access and data security. CSD employees should adhere to these policies and procedures when accessing automated information systems in their use of computers and related devices. Refer to the Information Technology Section of the State Administrative Manual (SAM) Section 5300-5399 for additional clarification of these security requirements.

A. OWNERS, CUSTODIANS, AND USERS OF INFORMATION RESOURCES

The protection of information assets, both paper and electronic format, requires the support and ongoing participation of all owners, custodians, and users of these records. The determination of the custodial and user responsibilities is specific to the information collected, retrieved and/or published for certain audience of viewers.

Owners

Ownership of electronic information resources generally rests with the Department's Information Technology Services Unit. Paper based records ownership falls to the organization originating the document and/or publishing the document. Ownership responsibility for specific data generally rests with the unit management that generates or employs the data. The classification of the information that is entered, processed or distributed is the responsibility of the data owner.

Information access authority should be reviewed on a regular basis, as well as whenever an employee transfers, promotes, separates, or is terminated from state service. Information access authority should be modified or terminated as appropriate.

Custodians

The Information Technology Services Unit staff are the custodians of the information systems and the electronic data for the department. The Local Area Network (LAN) Administrator manages and maintains the LAN environment. The responsibilities of the custodians of information include

the following:

- Comply with all applicable laws, SAM provisions, and CSD policies and procedures.
- Maintain a secure physical and operational environment for storing and processing data resources. Offer support services, information processing services, and technical capabilities, as applicable.
- Advise CSD staff of security vulnerabilities within the system and recommend safeguards.
- Assist in implementing appropriate security precautions.
- Notify the Information Security Officer (ISO) of any actual or attempted security violations and assist in preparing the Security Incident Report (SAM Section 5350) and follow procedures outlined in the CSD Administrative Memorandum 03-01.
- Review information access authority on a regular basis, as well as each time an employee transfers, promotes, separates, or is terminated from state service. Information access authority should be modified or terminated as appropriate.
- Follow appropriate backup and recovery procedures.

Users

Users of information are individuals and state agencies that utilize the information that is processed by automated information systems. Users have specific limited authority from the owner of information to view, change, and/or delete such information.

B. OFF-SITE USAGE

Employees who work from a remote location will exercise the same controls over state-owned electronic and paper data off-site as they do at the Department work site. State-owned data records are considered "confidential" or "sensitive" at the office maintains its classification and access-restrictions off-site. Employees will not permit others access or viewing privileges of such data. Confidential, sensitive and private data releases, which occur by an employee off-site, may result in disciplinary action.

Employees who take state-owned equipment, such as laptop computers LCD projectors off-site and wireless devices, will exercise the same controls over state-owned equipment as they do at the Department work site.

C. CSD INFORMATION SECURITY

The CSD Information Security Officer (ISO) oversees information policies and practices and evaluates the risk management program with respect to information and systems security.

The ISO's responsibilities include the following:

- Oversee agency compliance with policies and procedures regarding the security of information assets (SAM Section 5300.3);
- Review and approval of all Information Security Incident Reports and oversee corrective action to remedy the problem identified (SAM Section 5350);
- Monitor ongoing risk analysis of computer/network applications (SAM Section 5305.1);
- Oversee the development of the Department's Operational Recovery Plan (SAM Section 5355.1);

II. SECURITY TRAINING PROGRAM

The Department has established security measures that recognize requirements of SAM Section 5325. Good security practices are expected of each CSD employee. The following is an overview of good security practices, proprietary software, computer viruses, electronic mail, network information connections, and information security violations which each employee should be aware.

A. GOOD INFORMATION SECURITY PRACTICES

- CSD users accessing CSD information assets must use due care to preserve data integrity and confidentiality.
- Passwords should be treated as confidential information and must be changed on a regular basis so that security, in terms of access, is being maintained.
- CSD users accessing CSD data must take appropriate precautions to ensure the protection of that data from unauthorized access or destruction.
- CSD staff must take reasonable precautions to prevent virus contamination of CSD data files (see section B for further details).
- Use of CSD information assets and computer resources shall be for CSD BUSINESS PURPOSES ONLY.

- Access to the CSD Local Area Network (LAN) system shall be through assigned user identifiers (IDs) and passwords.

B. PROPRIETARY SOFTWARE

Software license agreements shall be strictly followed. Proprietary software cannot be duplicated, modified, or used on more than one machine, except as expressly provided for in the manufacturer's license agreement.

It is the policy of CSD to use commercial software packages for personal computers whenever practical, rather than undertake independent software development.

CSD users may not install freeware or software purchased by them unless the software is approved and added to CSD's supported software list. Unsupported software will be removed.

C. COMPUTER VIRUSES

CSD users must take reasonable precautions to prevent virus contamination of state systems. Caution should be utilized when importing free software from bulletin boards or the Internet. They can be a prime source of computer viruses. No personal or unlicensed software from home and/or from any other source is permitted to be installed in any CSD computer without permission from the Information Technology Services Unit (ITS). In addition, external data or other media files (e.g., jpg, mp3, wma, etc.) may not be used on a CSD computer unless it has been approved by ITSU.

CSD users that access CSD network resources remotely via the GoToMyPC, wireless connections, etc. are responsible for having anti-virus software for any employee owned computers. Users are also responsible for keeping the anti-virus software licensed and up to date.

D. ELECTRONIC MAIL (E-MAIL)

The Department of Community Services and Development (CSD) provides electronic mail (e-mail) services for all staff. This policy applies to all CSD employees and refers to all electronic mail accounts at CSD.

CSD employees who use electronic mail or remotely connects to a CSD email account consent to all of the provisions in this policy and agree to comply with all of its terms and conditions and with all applicable state and federal laws and regulations.

Employees who violate this policy will be subject to disciplinary action, up to and including termination of employment.

Privacy

CSD cannot guarantee the privacy or confidentiality of any electronic mail message or document. Users should be aware that these transmissions are not secure. Confidential information should not be exchanged via electronic mail without the use of additional security precautions (e.g., encryption, password protected files, etc.).

Proper Use

CSD provides electronic mail service to its employees to enhance their ability to quickly and conveniently send and receive written communications and documents for the purpose of conducting state business. Any use of this service that interferes with these functions is improper.

Employees who use the electronic mail service are expected to do so responsibly, to comply with state and federal laws, with policies and procedures of the department, and with normal standards of professional and personal courtesy and conduct. For example, an e-mail message that will be sent to all CSD staff or to Executive Staff should be reviewed and approved by the sender's supervisor/manager, as would a hard copy memo being sent to these recipients. The same reporting lines should apply as appropriate (from staff to supervisor, to manager, to deputy director, to chief deputy director, to director).

Other considerations should include the urgency of the message, the length of the message, and the nature of the message. E-mail messages normally involve short, concise, communications about very current or urgent business matters. Lengthy documents and purely informational material are better shared through the CSD Intranet or shared via regular internal office mail system. An exception would be a document being e-mailed to your supervisor for editing.

The nature of the message is also important. E-mail communications are not intended to take the place of interpersonal verbal communication that is necessary and appropriate to conduct business. CSD expects its employees to exercise good judgment in deciding which matters are communicated by e-mail rather than by telephone or in person. For example, sensitive personnel issues are not appropriately conducted or resolved by electronic communication. Questions about these distinctions should be directed to the employee's supervisor/manager or to the Deputy Director for Administrative Services.

As the owner of the electronic mail system, CSD reserves the right to monitor and inspect electronic mail transmissions for reasonable business purposes. *Electronic mail may only be used for legitimate state business purposes.*

Improper Use

Electronic mail transmission must not be used to contact others for commercial ventures, religious or political causes, or other non-business purposes such as "junk mail", jokes, or chain letters.

CSD strives to maintain a workplace free of harassment and sensitive to the diversity of its employees. Therefore, CSD prohibits the use of the electronic mail service in ways that are disruptive, offensive to others, harmful to morale, or discredit and/or reflect poorly on CSD in any way.

- *Example: The display or transmission of sexually explicit images, messages, and cartoons is not allowed. Other such misuse includes, but is not limited to, ethnic slurs, racial comments, off-color jokes, or anything that may be construed as harassment or showing disrespect for others.*

In general, policies and regulations that apply to other forms of communication at CSD also apply to electronic mail. For example, it is CSD's policy that personal information about an employee, such as illness or a death in the family, should not be shared with other staff or the entire staff until the employee has agreed with his/her supervisor to share the information. The employee's manager should issue any electronic mail messages about such personal matters.

In addition, the following specific actions and uses of electronic mail are improper:

- Concealment or misrepresentation of names or affiliations in electronic mail messages.
- Alteration of source or destination addresses of electronic mail.
- Use of electronic mail to aid in unlawful activities.
- Use of electronic mail for commercial or private business purposes.
- Use of electronic mail, which unreasonably interferes with or threatens other individuals.
- Use of electronic mail that degrades or demeans other individuals.

CSD electronic mail service shall not be used for purposes that could reasonably be expected to cause, directly or indirectly, excessive strain on any computing or networking facility, or unwarranted or unsolicited interference with others' use of electronic mail. These uses include but are not limited to:

- sending and/or forwarding chain letters;
- "letter bombs" or sending the same electronic mail message repeatedly to one or more recipients to interfere with the recipient's use of electronic mail; and

- to exploit list servers or similar broadcast systems for purposes beyond their intended scope to amplify the widespread distribution of unsolicited electronic mail.

Employees should notify their immediate supervisor, the Information Security Officer, or any other member of management upon learning of a violation of this policy.

Security

All users of electronic mail are advised to take necessary precautions to protect the confidentiality of electronic mail messages and documents or other records containing personal or confidential information encountered in the performance of their duties or otherwise. They should therefore utilize whatever means of protection, such as passwords, that are available to them to safeguard their electronic mail. Since such means of protection are not necessarily foolproof, the security and confidentiality of electronic mail cannot be guaranteed.

E. LOCAL AREA NETWORK

- Groups in the shared folders are established and maintained by the Network Administrator.
- To establish a new group or to modify an existing group requires a request to be submitted to the Product Specialist.
- Because shared files can only be opened by one person at a time, files should not be left open when you are going to be away from your computer for 15 minutes or longer (i.e., breaks, attending meetings, having lunch).
- The user will be responsible for "managing" the files stored in the user's network folder (i.e., removing inactive/duplicate files).
- The user will be responsible to logout of their network account each evening prior to departure from CSD nor will any employee maintain an active remote connection when not necessary.

F. INFORMATION SECURITY VIOLATIONS

The ISO, with full departmental support and authority, will treat violations of security policy with the utmost seriousness. In the course of enforcing this Department's information security policies and procedures, the ISO may recommend taking disciplinary action. The specific disciplinary action that will be taken depends upon the nature of the violation and the impact on the Department's information assets and/or facilities. Disciplinary action may include:

- A written letter of reprimand;
- Time off without pay;
- Reduction in pay;
- Demotion;
- Dismissal from state service;
- Criminal prosecution.

Follow-up and resolution of reported security incidents will be prompt. During the time when a suspected violation is under investigation, the suspected violator's access privileges may be revoked and/or other action may be taken to prevent harm to CSD's information assets. Depending on the infraction, a Security Incident Report may be required as described above.

III. COMPUTER SAFETY

Steps should be taken to protect computer equipment from theft and unauthorized use. Desktop systems should be kept in secure areas or should be physically attached to a desk or table. The following is an overview of the CSD computer safety policies and procedures.

A. BACKUP/RECOVERY PROCEDURES AND OFF-SITE STORAGE

To guard against the loss of data and programs and to ensure the availability and integrity of application software and data, the Information Technology Services Unit will maintain back-up copies of all programs and data on the LAN according to the following guidelines:

- A regular schedule for making backup copies of all data files shall be established by the Information Technology Services staff.
- Unit management, in coordination with the ISO, will ensure that backup procedures are carried out.
- Depending on the nature of the information, backup files may need to be stored at an off-site location.
- If software cannot be copied to make backups (because of copy protection or legal restrictions), enough information must be retained to allow an identical copy to be obtained if necessary.
- To ensure that data/documents are backed up, all files should be

saved on the LAN. Files saved on the local workstations are the responsibility of the end user.

B. PASSWORD PROTECTION (Securing the Data from Unauthorized Access)

CSD employees are responsible for the confidentiality and security of their passwords. **Shared passwords are prohibited.** To protect the Department's LAN resources, either password protect your screen saver or log off the computer when your workstation is unattended.

- Logon ID's are limited to 11 (eleven) characters, with no minimums.
- The first time a user logs on to their computer, the LAN administrator will assign the password. The user will then be prompted to change their password ID.
- Passwords must be at least six (6) characters long, and are case sensitive.
- If a password is forgotten, a request must be submitted to the Product Specialist.
- Passwords are good for 60 days. At the end of 60 days the password must be changed. The same password cannot be used twice.

C. FILE ENCRYPTION (Securing the Data from Accidental or Unauthorized Access)

Confidential data files should be protected from unauthorized access or modification through data encryption.

D. RISK MANAGEMENT PROGRAM - Operational Recovery Planning (ORP)

A risk management program includes a contingency plan that addresses what to do if, and when, your computer and/or the data files are violated, lost, damaged, or inaccessible. Other terms for contingency plan are Disaster Recovery Plan or Operational Recovery Plan (ORP). The ORP contains detailed procedures that will help assure continued agency operations in the event of a disaster (SAM Section 5355). The ORP is part of the Department's overall Business Recovery Plan. Responsibility for preparing and updating the ORP resides with the management of each program. The ORP is a tool to the program management to recover its information assets in the event of a major disaster.

COMPUTER SECURITY AND CONFIDENTIALITY STATEMENT

I have read the Computer Security Policy Guide and will comply with the security requirements indicated in the guide. Also, I understand the need to:

1. Exercise due care to preserve data integrity and confidentiality.
2. Treat passwords as confidential information and change them on a regular basis to help ensure that security is maintained.
3. Take reasonable precautions to ensure the protection of CSD data from unauthorized access or destruction.
4. Notify my supervisor and the CSD Information Security Officer when aware of a possible security violation including unauthorized access, loss or destruction of equipment, misuse, theft, possible virus, etc. (see Section 5350 of the State Administrative Manual).
5. Re-certify by completing this form annually.

CERTIFICATION

I understand that unauthorized access, attempted access, or use of any computer systems and/or data of the State of California is a violation of Section 502, of the California Penal Code, and is subject to prosecution.

User name (print)	Division	Unit
User signature	Date	Telephone number
Supervisor signature	Date	Telephone number

PROGRAM INTEGRITY ASSESSMENT SUPPLEMENT

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EXHIBIT A
(Standard Agreement)

- B. Notice shall contain a statement of the reasons for termination with reference to the specific provision(s) in the grant guidance or proposed amendment in question.
- C. Contractor shall be entitled to reimbursement for all allowable costs incurred prior to termination of the contract. Such reimbursement shall be in accordance with the grant guidance and contract provisions in effect at the time the cost was incurred.

6. **COMPLIANCE**

All services and activities are to be provided in accordance with all applicable federal, state, and local laws and regulations, and as those laws and regulations may be amended from time to time, including but not limited to, pursuant to the following:

- A. The Low-Income Home Energy Assistance Program Act of 1981, 42 U.S.C. §§ 8621 et seq., and 45 Code of Federal Regulation (CFR) Part 96;
- B. The California Government Code §§ 16367.5 et seq., as amended, and Title 22, California Code of Regulations (CCR), §§ 100800 et seq.; and
- C. The Single Audit Act, 31 U.S.C. §§ 7301 et seq., and Office of Management and Budget (OMB) Circular A-133 and its appendices and supplements.

7. **REQUIREMENTS, STANDARDS, AND GUIDELINES**

Contractor agrees to apply all of the requirements, standards, and guidelines contained in the following authorities, as they may be amended from time to time, to all of the procurement, administrative, and other costs claimed under this Agreement, including those costs under subcontracts to this Agreement, notwithstanding any language contained in the following authorities that might otherwise exempt Contractor from their applicability. To the extent that the requirements, standards, or guidelines directly conflict with any State law or regulation at Government Code §§ 16367.5 et seq. or 22 CCR §§ 100800 et seq., or any specific provision of this Agreement, then that law or regulation or provision shall apply instead:

- A. OMB Circular A-102 (Common Rule for State and Local Governments), as codified by the Department of Health and Human Services (HHS) at 45 CFR Part 92;
- B. OMB Circular A-110 (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and other Non-Profit Organizations), as codified by HHS at 45 CFR Part 74;

EXHIBIT C
(Standard Agreement)

GENERAL TERMS AND CONDITIONS GTC 610

1. APPROVAL

This Agreement is of no force or effect until signed by both parties.

2. AMENDMENT

No amendment or variation of the terms of this Agreement shall be valid unless made in writing, signed by the parties and approved as required. No oral understanding or Agreement not incorporated in the Agreement is binding on any of the parties.

3. ASSIGNMENT

This Agreement is not assignable by the Contractor, either in whole or in part, without the consent of the State in the form of a formal written amendment.

4. AUDIT

Contractor agrees that the awarding department, the Department of General Services, the Bureau of State Audits, or their designated representative shall have the right to review and to copy any records and supporting documentation pertaining to the performance of this Agreement. Contractor agrees to maintain such records for possible audit for a minimum of three (3) years after final payment, unless a longer period of records retention is stipulated. Contractor agrees to allow the auditor(s) access to such records during normal business hours and to allow interviews of any employees who might reasonably have information related to such records. Further, Contractor agrees to include a similar right of the State to audit records and interview staff in any subcontract related to performance of this Agreement. (Gov. Code § 8546.7, Pub. Contract Code § 10115 et seq., CCR Title 2, Section 1896.)

5. INDEMNIFICATION

Contractor agrees to indemnify, defend and save harmless the State, its officers, agents and employees from any and all claims and losses accruing or resulting to any and all contractors, subcontractors, suppliers, laborers, and any other person, firm or corporation furnishing or supplying work services, materials, or supplies in connection with the performance of this Agreement, and from any and all claims and losses accruing or resulting to any person, firm or corporation who may be injured or damaged by Contractor in the performance of this Agreement.

EXHIBIT D
(Standard Agreement)

- E. If the Contractor's board is both tripartite and advisory to the elected members governing a local government, the Contractor shall submit to CSD the approved minutes from any meeting of the elected officials where matters relating to this Agreement are heard, including but not limited to discussions about or decisions affecting the Low-Income Home Energy Assistance Program. Such minutes shall be submitted to CSD no later than 30 days after the related meeting.

6. **AUDITING STANDARDS AND REPORTS**

A. Auditing Standards

Contractor must follow all audit requirements as set forth in OMB Circular A-133 and the CSD Supplemental Audit Guide. The Supplemental Audit Guide is attached herein as Exhibit D, Attachment I. The Supplemental Audit Guide may be accessed at www.csd.ca.gov.

B. Audit Reports

- 1)
 - a. Funds provided under this Agreement shall be included in an audit conducted in accordance with the provisions of OMB Circular A-133 for nonprofit and public agencies; standards promulgated by the American Institute of Certified Public Accountants (AICPA), and those standards included in "Government Auditing Standards, 2007 Revision, as amended."
 - b. Contractors falling below the federal funding threshold that mandates a single agency-wide audit in accordance with OMB Circular A-133 shall:
 - i. Submit an annual program-specific audit within nine months of the end of the Contractor's fiscal year; and
 - ii. Be subject to an audit and/or other fiscal- or program-specific review conducted by CSD or its agents, upon 30 days written notice.
- 2) The financial and compliance audit report shall contain the following supplementary financial information: a combined statement of revenue and expenditures for each contract that presents, by budget line item, revenue and expenditures for the audit period and a description of the methodology used to allocate and claim indirect costs and any administrative cost pools.
- 3) The audit report must specifically mention that a review for compliance with OMB Circulars A-87 and A-122 was conducted.

PROGRAM INTEGRITY ASSESSMENT SUPPLEMENT

LIHEAP Verification

And

Eligibility Guide

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Pages 20-45

Citizenship and Alien Status for Public Agencies

Purpose Federal law requires that all public agencies verify that all eligible applicants are a United States citizen, national, or an alien in a qualified immigration status.

Citizen or naturalized citizen An individual is a United States (U.S.) citizen if:

- Born in the U.S., regardless of the citizenship of his/her parents
- Born outside of the U.S. of U.S. citizen parents
- Born outside the U. S. of alien parents and has been naturalized as a U.S. citizen. A child born outside of the U.S. of alien parents automatically becomes a citizen after birth if his/her parents are naturalized before he becomes age 16.

Citizenship documentation Acceptable proof of U.S. citizenship includes but not limited to:

- U.S. birth certificate
- U.S. passport
- Naturalization certificate, N-550 or N-570. Certificate cannot be copied but agency should review, verify and document in the file that the “naturalized certificate was verified and valid”
- Report of birth abroad of a U.S. Citizen FS-240
- United States Citizen Identification Card, I-197
- Certificate of Citizenship, N-560 or N-561
- Statement provided by the U.S. consular officer certifying the individual is a U.S. citizen
- American Indian card with a classification code KIC

Qualified Alien The following table lists acceptable status and corresponding documentation for qualified aliens:

Status	Documentation
Lawful Permanent Resident	<ul style="list-style-type: none">• INS form I-551 (Alien Registration Receipt Card, also called Resident Alien Card or ‘green card’). This card contains a photo and fingerprint. It does not include the AI-551 form number. Older versions do not include a fingerprint.• An unexpired temporary I-551 stamp in a foreign passport or on a Form I-94

Continued on next page

Citizenship and Alien Status for Public Agencies, Continued

Qualified Alien (continued)

Status	Documentation
Parolee	<ul style="list-style-type: none"> INS Form I-94 with a stamp showing admission under Section 212(d)(5) of the INA. An expiration date of 1 year or more from the date the status was granted (or indefinite) will be noted on the I-94 and can be used to indicate a qualified alien's status INS Forms I-688 coded 274a.12(c) (11) Form I-766 coded C11, indicates parolee status
Conditional Entrant	<ul style="list-style-type: none"> INS Form I-94 with a stamp showing admission under Section 203(a)(7) of the INA INS Form I-688 coded 274a.12(a)(3) Form I-766 coded A3, which indicates status as a condition entrant
Cuban/Haitian Entrant	<ul style="list-style-type: none"> INS Form I-94 with a stamp showing parole as a Cuban/Haiti Entrant under Section 212(d)(5) of the INA Form I-94 showing parole into the U.S. on or after October 10, 1980 and reasonable evidence that the parolee had been a national of Cuba or Haiti Note: This guideline does not apply when the individual was paroled solely to testify as a witness in a judicial administrative, or legislative proceeding or when the parolee is in legal custody pending criminal prosecution
Deportation or Removal Withheld	<ul style="list-style-type: none"> An immigration judge's order showing that deportation was withheld pursuant to Section 243(h) of the INA removal was withdrawn pursuant to Section 241(b)(3) of the INA and the date of the judge's order An INS Form I-688 with the code of 274a.12(a)(10) Form I-766 coded A10, which indicates deportation or removal withheld under Section 241(b)(3) or 243(h)
Battered Spouse	<ul style="list-style-type: none"> The individual must have filed a petition with INS base on: <ul style="list-style-type: none"> Status as a spouse or child of a United States citizen or classification to immigrant status as a spouse or child of a lawful permanent resident or Suspension of deportation and adjustment to lawful permanent resident status based on battery or extreme cruelty by a spouse or parent who is a United States Citizen or lawful permanent resident The individual must allege that he or she was subjected to battering or extreme cruelty; and the person responsible for the battery or extreme cruelty must no longer reside with the individual in question.

Continued on next page

Citizenship and Alien Status for Public Agencies, Continued

Qualified Alien (continued)

Status	Documentation
Asylee-Alien granted asylum	<ul style="list-style-type: none">• INS Form I-94 (Arrival Departure Record) with a stamp showing grant of asylum under Section 208 of the INA• A grant letter from the INS Asylum Office.• An order of an immigration judge.• INS Form I-688B (Employment Authorization Card) with the code 274a.12(a)(5)• Form I-766 (Employment Authorization Document) coded A5 that indicates status as an Asylee
Refugee	<ul style="list-style-type: none">• INS Form I-94 with a stamp showing admission under Section 207 of the INA• INS Form I-688B with the code 274a.12(a)(3).• Form I-766 coded A3 that indicates status as a refugee.

Ineligible for public agencies

Persons ineligible to participate in the energy and/or weatherization programs with public agencies are:

- Individuals who hold an INS I-94 who are admitted as temporary entrants (such as students, visitors, tourists, diplomats, etc.)
- Aliens who have no other INS document
- Individuals possessing an Individual Taxpayer Identification Number (ITIN). An ITIN does not create an inference regarding the person's immigration status. An ITIN is issued by the U.S. Internal Revenue Service to individuals who are required to have a U.S. taxpayer identification number but who do not have, and are not eligible to obtain a Social Security Number issued by the Social Security Administration.

Calculating income

An individual is not counted in the household size if citizenship or qualified alien criteria is not met. However, his/her income is counted in the household's total income.

Processing Applications without a Social Security Number

Background CSD does not have the legal authority to require the collection of Social Security numbers (SSN) as a condition of eligibility. Agencies should continue to request an SSN to assist with client identification and to streamline applicant eligibility verification. However, an applicant cannot be denied services for refusing to provide their Social Security number.

Mail in applications If an application is received in the mail without an SSN, the agency must follow up with the client to request the SSN. If the client refuses to submit the SSN the agency must follow the step by step procedure for processing an application without an SSN as described on page 21.

The attempt to obtain the SSN and the reason for not providing the SSN by the client must be documented in the client file.

Applications received in person If during the initial intake process an application is submitted without an SSN and a verbal confirmation is received from the client that they refuse to provide their SSN, the agency will follow the step by step procedure for processing an application without an SSN as described on page 21.

The attempt to obtain the SSN and the reason for not providing the SSN by the client must be documented in the client file.

Requesting additional information Note: Agencies that require documentation above the minimum requirements (a copy of Social Security card, copy of a driver's license, or name, ages and Social Security numbers for all household members) cannot deny a client for services for failure to provide this additional information.

Continued on next page

Processing Applications without a Social Security Number

Continued

Procedure

If a client refuses to provide their SSN:

Step	Action
1	Agency must confirm identity of client with any picture identification card. A copy of the picture identification used to confirm identity must be retained in the client file. Examples of acceptable forms of picture identification: <ul style="list-style-type: none"> • Drivers license • Employee ID card • School, library, bus pass etc.
2	After confirming the applicant's identity, perform a data base search using the following information to assure that the client has not been served in the current program year: <ol style="list-style-type: none"> 1. Last and first name 2. Service address 3. Phone number 4. Utility Account Number
3	If the client's record is located in a prior year with an SSN, agencies can enter the application and use the SSN from the prior year on the current application. The application should be processed in the standard manner and will not need to be submitted to CSD.
4	When the client is determined eligible (meets income guidelines, agency's priority plan and has not been served in the current year) agency will arrange for the handling of the application without an SSN, by completing a fax coversheet, and submitting the cover sheet, a copy of the intake form and supporting documents to CSD's Help Desk, via fax. Supporting documents must include: <ol style="list-style-type: none"> 1. Utility bill or a landlord statement for utilities included in rent 2. Copy of picture ID
5	CSD's Help Desk staff will perform a secondary duplicate check to confirm the client has not previously applied with an SSN. If a positive match is found, the Help Desk will provide the agency the previously used SSN for processing of the application.
6	If no match is found a unique filler number will be assigned by the Help Desk in lieu of an SSN.
7	Help Desk will confirm the filler number assigned to the applicant and provide the agency the temporary SSN via the return of the completed fax cover sheet.
8	Once the agency receives the confirmation with the assigned filler number the agency will process the application in the standard manner. <p>Note: Once an applicant is assigned a temporary filler number, this number is to be used each and every year the client applies.</p>

Client File Documentation

Purpose	All factors of eligibility must be verified and documented in the client file.
Client file requirements	<p>Client files must contain specific documents:</p> <ol style="list-style-type: none">1. Completed and signed intake form. The applicant name and signature must be the same person. Note: The applicant does not need to be the customer on the utility bill.2. Copy of the utility bill from the company that will receive the cash assistance (HEAP) payment. It is important to collect bills from all sources of energy used in the household to determine the actual energy burden. However, copies of all sources are not required.3. Proof of income documentation for all adult members of the household for a one month period, current within six weeks of intake.4. Verification of energy conservation education and budget counseling.5. If the agency is required to verify citizenship, the file must contain proof as directed.
Fast Track requirements	<p>Fast Track client files must contain all of the requirements listed in the previous section and proof of energy crisis documentation, such as:</p> <ul style="list-style-type: none">• A shut off notice,• Proof that services have been disconnected,• Proof that the account is in arrears, or• A deposit is needed to establish services
Not required by CSD	<p>CSD does not require a copy of the applicant's</p> <ul style="list-style-type: none">• Social Security card• Drivers License• Name, age, and social security number for all members of household <p>It is at the agency's discretion to include these documents in the client file.</p>
Confidential	<p>Agency personnel will be exposed to and have access to information which is of a confidential nature. All client records are considered to be confidential and are open only to State and local agency personnel carrying out eligibility and audit functions. Such information should not be shared with unauthorized personnel.</p>
Retention	All client files must be retained for 3 years from the end of the contract term.

Income Verification

Introduction

The determination of income is based on all household income sources before any deductions. An applicant's total gross household income must be verified and copies retained in the client file.

Income Calculation

Introduction Determination of income eligibility is based on the total household monthly gross income before any deductions. Applicants are required to submit proof to cover one month's income.

Purpose To create consistency in calculating income, agencies must calculate monthly income using the same method. The income calculations is to assist clients experiencing hardships and not be used as a common practice to circumvent the requirements for collecting income documentation substantiating gross monthly income from all sources for qualified households.

- Criteria**
- Proof of income must be current to within 6 weeks from the intake date (unless otherwise specified by the agency).
 - Income must be the total gross income before deductions.
 - Income document(s) should cover a one-month period unless applicant did not work a full month.
 - Income cannot be annualized.
 - Seasonal worker's income must be based on the actual current income at time of intake.
-

Total income submitted When four weekly, two bi-weekly or two bi-monthly consecutive paystubs are submitted as proof, simply add the gross amount of all stubs to calculate monthly income.

Exceptions On an exceptional basis when a client cannot provide a full month of income verification, a weekly, bi-weekly or bi-monthly paycheck stub can be used to equal one month income using the income formulas in the following section. However, income formulas cannot be used when the calculated monthly income does not reconcile (within reason) with client's statement of gross monthly income or if the client failed to provide a statement of their gross monthly income on the intake form. The applicant must first state the amount of their gross monthly income on the intake form; and then proceed to provide the proof.

Example A

Stated Income on Intake Form:	\$800
Weekly Pay Stub:	\$200
Income using formula ($\$200 \times 4.333$)	\$866.60

Example A is an acceptable method for utilizing the income formula for determining monthly income as the monthly calculated income reconciles within reason with the client's statement of gross monthly income on intake form. In this example the total household income entered would be \$866.66.

Example B

Stated Income on Intake Form: \$0
Weekly Pay Stub: \$200

Example B is an unacceptable situation to allow the utilization of the income formula for determining client's monthly income. The proof of income provided does not reconcile against the income stated on the intake form. The applicant must declare their monthly income.

Income Formulas

How to calculate incomplete earned income documentation

- A weekly gross income must be multiplied by 4.333 to total one month's income.
 $\$550 \text{ weekly} \times 4.333 = \$2,383.15 \text{ monthly income}$
- Bi-weekly gross income should be multiplied by 2.167 to calculate one month's income.
 $\$1,200 \text{ bi-weekly} \times 2.167 = \$2,600.40 \text{ monthly income}$
- Bi-monthly gross income should be multiplied by 2
 $\$1,200 \text{ bi-monthly} \times 2 = \$2,400.00 \text{ monthly income}$
- Quarterly gross income (including any interest and dividends) should be divided by 3 to arrive at a monthly average.
 $\$4,000 \text{ quarterly divided by } 3 = \$1333.33 \text{ monthly income}$

Note: The income calculation is to assist clients experiencing hardships and not be used as a common practice to circumvent the requirements for collecting income documentation substantiating gross monthly income from all sources for qualified households.

Zero Income

For clients claiming no source of income, verification must be certified by completing a self-certification statement or use CSD Form 43A. The statement must include the individual's name, date, signature, and attest to the fact that all statements are true and correct.

Statement of income

In all cases agencies should make every effort to obtain one month's income documentation from all income sources. The first step is to verify the amount of the household's gross monthly income, generally provided on the intake form, along with the provided acceptable forms of income verification to substantiate the amount indicated on the intake form.

If the client has not indicated the monthly amount and is available, simply ask them to enter it on the form. If an intake form is received by mail without the income box completed, a second attempt to obtain the information must be made, either by mail, phone call, fax, etc. In all cases, the attempt to obtain the monthly income amount and verification as well as any subsequent actions must be documented in the client file.

If it is determined that a hardship exists and the client is unable to provide verification after the agency has made an attempt to obtain documentation, it is then acceptable to process the application using the formulas for calculating incomplete earned income.

**Public
assistance,
retirement,
Social Security**

Clients should be expected to provide appropriate verification for one entire month. The only exception would be when the request for additional documentation would cause undue hardship for the client and the income can be substantiated with a great deal of accuracy using an outdated form of documentation.

Example: Elderly woman, 80 years old, using public transportation to the agency, submits a copy of a Social Security check that is beyond the 6 week limit. It is reasonable, in this case, to assume that her income, Social Security, has not changed and it is acceptable to process the application with the income verification submitted. It would be an extreme hardship for the applicant to return with current documentation.

Note: The reason for accepting the outdated information must be documented in the file.

**Unqualified
alien**

An individual that is not a citizen or a qualified alien is not counted in the HEAP household. However, his /her income is counted towards the household's total income.

**Annual
statements and
bank deposits**

For award or annual statements, DO NOT use the date the document was issued. You must use the dates covering benefits within the document to determine eligibility. These dates must be current.

Automatic Bank Deposit - the date of the deposit or the issue date of the statement can be used to determine if the document is current to within 6 weeks of intake date.

Acceptable & Excluded Income Documentation

Public Assistance

Definition	Public assistance or welfare payments include cash public assistance payments low-income people receive, such as aid to families with dependent children (AFDC, ADC), temporary assistance to needy families (TANF), and general assistance.
Acceptable proof	<p>Proof of income for these items must be current to within 6 weeks of the application intake date.</p> <ul style="list-style-type: none">• Copy of current check• Current Notice of Action• Current verification from worker with amount of payment and date• Food Stamp verification with current income amount listed• Current aid printout summary• Copy of bank statement showing direct deposit; the date of the deposit or the issue date of the statement can be used to determine if the document is current to within 6 weeks of intake date.
Unacceptable proof	<ul style="list-style-type: none">• Outdated or altered information• Medi-Cal cards• Food Stamp verification with no income amount or date• CW7 Report• Notice of Action stating homeless aid
Countable income	Overpayment adjustments should not be deducted from the grant amount.
Non-countable income	<p>A family's monthly Food Stamp allotment amount is not considered income. Note: Do not include the Food Stamp amount when calculating income</p>

Earned Income

Definition

Money, wage or salary income is the total income people receive for work performed as an employee during the income year. Includes wages, salary, armed forces pay, commissions, tips, piece-rate payments, and cash bonuses earned, before deductions are made for items such as taxes, bonds, pensions, and union dues.

Acceptable proof

Proof of income for these items must be current to within 6 weeks of the application intake date.

- Copy of check(s) showing gross amount.
 - Current copy of pay stub(s) covering 1 month of gross income (using necessary formulas).
 - Letter from employer with company name, address, phone number, the gross amount and current pay period.
 - Notice of Action showing earned income.
 - HUD statement from Department of Housing with annual income amount.
-

Unacceptable proof

- Outdated information
 - Information without dates
 - Copy of check(s) showing net amount only
 - Federal and State Tax Forms (exception: self-employed)
 - W2 Forms
 - Non-consecutive pay stubs (If unable to determine monthly gross.)
 - Employers' letter not showing gross income amount
 - Food Stamp verification with no dollar amount listed
 - Renter's Credit Form
 - Copy of bank statement
 - Military pay showing base pay only.
-

Social Security

Definition Includes social security pensions and survivor's benefits and permanent disability insurance payments made by the SSA prior to deductions for medical insurance.

Acceptable proof Proof of income for these items must be current to within 6 weeks of the application intake date.

- Copy of check
- Payee's (income recipient) letter of verification showing income amount
- Notice of planned action
- Copy of bank statement showing direct deposit - The date of the deposit or the issue date of the statement can be used to determine whether the document is current to within 6 weeks of intake date.

For the following items, DO NOT use the actual date the document was issued. You must use the dates covering benefits within the document to determine eligibility. These dates must be current.

- Annual benefit letter with current dates (i.e., date of letter is 12/08, but letter states applicant will receive \$\$ beginning 1/09).
- Computer printout or letter that states the current annual benefit amount.
- Form 2458 completed by Social Security Office.
- HUD statement from Department of Housing with a Social Security amount.

Unacceptable proof

- Outdated information
- Benefit letter with no income amount or date
- Payee's letter of verification not showing income amount
- Medicare cards

Countable income Overpayment adjustments must not be deducted.

Continued on next page

Social Security, Continued

Non-countable income	Medicare premiums are not considered income and must be deducted from the total gross amount.
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Pensions or Retirement

Definition	Includes payments received from eight sources: companies or unions; federal government (Civil Service); military; state or local governments; railroad retirement; annuities or paid-up insurance policies; individual retirement accounts (IRAs), Keogh or 401 (k) payments; or other retirement income.
Acceptable proof	<p>Proof of income for these items must be current to within 6 weeks of the application intake date.</p> <ul style="list-style-type: none">• Copy of check.• Copy of bank statement showing direct deposit - The date of the deposit or the issue date of the statement can be used to determine whether the document is current to within 6 weeks of intake date. <p>For award or annual statements, DO NOT use the date the document was issued. You must use the dates covering benefits within the document to determine eligibility. These dates must be current to within 6 weeks of the application intake date.</p> <ul style="list-style-type: none">• Pension verification (i.e., letter or printout. Time frame of benefit must be current).• Annual statement from pension plan.• Form 1099. (<u>Only acceptable if intake date is within the 6 week period following January 1, 2009.</u>)
Unacceptable proof	<ul style="list-style-type: none">• Outdated or altered information• Benefit letter with no income amount or date

Interest

Definition

Interest includes payments received or have credited to accounts from bonds, treasury notes, IRAs, certificates of deposit, interest-bearing savings and checking accounts, and all other investments that pay interest. Only the interest used for household support is considered income, not the original deposit.

Acceptable proof

Proof of income for these items must be current to within 6 weeks of the application intake date.

- Current copy of check(s)
 - Current statement(s) from financial institution(s)
 - Current copy of financial statement(s) showing direct deposit - The date of the deposit or the issue date of the statement can be used to determine whether the document is current to within 6 weeks of intake date
-

Unacceptable proof

- Outdated information
 - Information without a date
 - Financial statement(s) without a dollar amount listed
 - Federal and State Tax Forms
-

Dividends/Royalties

Definition Dividends are returns on capital investments, such as stocks, bonds, or savings accounts. Royalties are compensation paid to the owner for the use of property, usually copyrighted material or natural resources such as mines, oil wells, or timber tracts. Royalty compensation may be expressed as a percentage of receipts from using the property or as an amount per unit produced.

Acceptable proof Proof of income for these items must be current to within 6 weeks of the application intake date.

- Current copy of check(s)
- Current statement(s) from financial institution(s)
- Current copy of financial statement(s) showing direct deposit - The date of the deposit or the issue date of the statement can be used to determine whether the document is current to within 6 weeks of intake date.

Unacceptable proof

- Outdated information
- Information without a date
- Financial statement(s) without a dollar amount listed
- Federal and State Tax Forms

Workers Compensation

Definition	Workers compensation includes payments people receive periodically from public or private insurance companies for injuries received at work.
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Acceptable proof	Proof of income for these items must be current to within 6 weeks of the application intake date.
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- Copy of current check(s)
 - Current check stub(s)
 - Current printout
 - Current award letter
-

Unacceptable proof	<ul style="list-style-type: none">• Outdated information• Information without a date• Award letter without income or date
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Unemployment Compensation

Definition Unemployment compensation includes payments received from government unemployment agencies or private companies during periods of unemployment, including any strike benefits from union funds.

Acceptable proof Proof of income for these items must be current to within 6 weeks of the application intake date.

- Copy of current check(s)
 - Current check stub(s)
 - Current printout
 - Current award letter
-

Unacceptable proof

- Outdated information
- Information without a date
- Award letter without income or date

Veterans Benefits

Definition	Includes payments to disabled members of the armed forces or survivors of deceased veterans receiving periodically from the Department of Veterans Affairs for education and on-the-job training, and means-tested assistance to veterans.
Acceptable proof	<p>Proof of income for these items must be current to within 6 weeks of the application intake date.</p> <ul style="list-style-type: none">• Copy of current check(s)• Current check stub(s)• Current printout• Current award letter• Bank statement with automatic deposit - The date of the deposit or the issue date of the statement can be used to determine whether the document is current to within 6 weeks of intake date.
Unacceptable proof	<ul style="list-style-type: none">• Outdated or altered information• Benefit letter with no income amount or date

Self Employment and Rental Income

Definition Net earnings from self-employment are the gross income from any trade or operated business minus any allowable deductions for that trade or business. Net earnings also include the client's share of profit or loss in any partnership, as reported on Federal income tax returns.

Operational expenses for self employed The following are operational expenses for self employed and are not considered income:

- Taxes required for operation of the business
 - Licenses and permit fees
 - Rent payments
 - Insurance
 - Labor costs
 - Maintenance
 - Products used to operate the business
 - Interest on debts
 - Actual food costs for self employed babysitters
-

Not included in operational expenses Business expenses do not include:

- Payments on the principal of the purchase price of and loans for capital assets such as real property, equipment, machinery and other goods of durable nature
- The principal and interest on loans for capital improvement of real property
- Net losses from previous periods
- Federal, state, and local taxes
- Money set aside for retirement purposes
- Personal expenses, entertainment expenses, and personal transportation
- Depreciation on equipment, machinery, or other capital investments necessary to the self-employment enterprise

Continued on next page

Self Employment and Rental Income, Continued

Operational expenses for rentals

The following are operational expenses for rentals and are not considered income:

- Interest on debts
 - Taxes
 - Insurance
 - Maintenance
 - Utilities, if paid by applicant
 - Real estate agent's fees
-

Acceptable proof

Tax Form 1040 is acceptable until the following year's filing date. The 2009 Income Tax Form is good until April 15, 2010.

- Current signed 1040 Federal Tax Form.
Must show a dollar amount, either on line 12 or 17, to be valid income verification for self-employed. When using a 1040 Tax Form, calculate monthly gross income for self-employed by dividing the amount on line 22 by 12 months. If line 22 is zero or a negative amount, set the income amount on the application to zero (0).
 - Current copy of ledger or journal (Handwritten information is acceptable) - Proof of income for a copy of ledger or journal, or a self-employment statement must be current to within 6 weeks of the application intake date.
 - Signed self-employment statement showing gross receipts, gross expenses, and net income for a one month time period (within the last six weeks).
-

Unacceptable proof

- Outdated or altered information.
- Unsigned 1040 Federal Income Tax Form

Survivors Benefits

Definition	Survivors benefits include payments received from survivors' or widows' pensions, estates, trusts, annuities, or any other types of survivor benefits, from private companies or unions; federal government (Civil Service); military; state or local governments; rail road retirement; worker's compensation; black lung payments; estates and trusts; annuities or paid-up insurance policies; and other survivors benefits.
Acceptable proof	<p>Proof of income for these items must be current to within 6 weeks of the application intake date.</p> <ul style="list-style-type: none">• Copy of current check(s)• Current check stub(s)• Current printout• Current award letter• Bank statement with automatic deposit - The date of the deposit or the issue date of the statement can be used to determine whether the document is current to within 6 weeks of intake date.
Unacceptable proof	<ul style="list-style-type: none">• Outdated information• Information without a date• Award letter without income or date

SSI/SSP

Definition	Supplemental security income includes federal, state, and local welfare agency payments to low-income people who are 65 years of age and older or people of any age who are blind or disabled.
Acceptable proof	<p>Proof of income for these items must be current to within 6 weeks of the application intake date.</p> <ul style="list-style-type: none">• Copy of check• Payee's (income recipient) letter of verification showing income amount• Notice of Planned Action• Copy of bank statement showing direct deposit - The date of the deposit or the issue date of the statement can be used to determine whether the document is current to within 6 weeks of intake date. <p>For the following items, DO NOT use the actual date the document was issued. You must use the dates covering benefits within the document to determine eligibility. These dates must be current.</p> <ul style="list-style-type: none">• Annual benefit letter with current dates (i.e., date of letter is 12/08, but letter states applicant will receive \$\$ beginning 1/09).• Computer printout or letter that states the current annual benefit amount.• Form 2458 completed by Social Security Office.• HUD statement from Department of Housing with a Social Security amount
Unacceptable proof	<ul style="list-style-type: none">• Outdated information• Benefit letter with no income amount or date• Payee's letter of verification not showing income amount• Medicare cards
Countable income	Over payment adjustments must not be deducted.
Non-countable income	Medicare premiums are not considered income and must be deducted from the total gross amount.

Excluded Income Sources

Policy change Effective with the release of the DOE ARRA contracts, the criteria for countable and non-countable income is being updated to include the following exclusions.

Authority **Federal Law Title 42 Chapter 94**
In verifying income eligibility for purposes of subsection (b) (2) (B) of this section, the State may apply procedures and policies consistent with procedures and policies used by the State agency administering programs under part A of title IV of the Social Security Act [42 U.S.C. 601 et seq.], under title XX of the Social Security Act [42 U.S.C. 1397 et seq.], under subtitle B of title VI of this Act (relating to community services block grant program) [42 U.S.C. 9901 et seq.], under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 [42 U.S.C. 2701 et seq.] before August 13, 1981, or under other income assistance or service programs (as determined by the State).
Subsection (b) (2) (B) households with incomes which do not exceed the greater of- (i) an amount equal to 150 percent of poverty level for such state; or (ii) an amount equal to 60 percent of the State median income;

Student Assistance All student assistance is excluded. This includes Grants, Scholarships, Fellowships and Gifts/Pell Grants/Federal Perkins Loans, Federal Supplemental Education Opportunity Grants, Leveraging Educational Assistance Program (LEAP), Department of Education and Bureau of Indian Affairs (BIA), University Year for Action and work study.

Foster Care payments Payments received for the care of foster children or foster adults, who are unable to live alone.

Continued on next page

Excluded Income Sources, Continued

In home care provider	<p>The income of a live-in aid* or amounts paid by a State agency (In Home Supportive Services) to a family or non family member to offset the cost of services and equipment needed to keep the family member at home will not be included in total household income.</p> <p>*Live-in aid means a person who resides with one or more elderly persons (at least 62 years old), or near elderly persons (at least 50 years old), or persons with disabilities, and who:</p> <ol style="list-style-type: none">1. Is determined to be essential to the care and well-being of the person(s);2. Is not obligated for the support of the person(s); and3. Would not be living in the unit except to provide the necessary supportive services.
Income from a minor	<p>Income from employment of children (including foster children) under the age of 18 years will be excluded from countable household income.</p>
Disaster assistance	<p>Payments made by federal service providers under a presidential declaration of disaster including, but not limited to, individual family grants from the Federal Emergency Management Agency (FEMA).</p>
Victims of crime payments	<p>All reparation payments to victims of a crime.</p>
Reparation payments	<p>Payments to Aleut people and people of Japanese ancestry under Public Law 100-383.</p>
Victims of Nazi persecution	<p>Payments made to individuals because of their status as victims of Nazi persecution shall be disregarded in determining eligibility.</p>
Older volunteers	<p>Older Americans Volunteers Act of 1965 – Income paid to participants in programs carried out under the Community Service Employment Program (Title V of the Older Americans Act), including Green Thumb, Senior Health Aides, Senior Companions.</p>

Continued on next page

Excluded Income Sources, Continued

Older volunteers	Older Americans Volunteers Act of 1965 – Income paid to participants in programs carried out under the Community Service Employment Program (Title V of the Older Americans Act), including Green Thumb, Senior Health Aides, Senior Companions.
Domestic volunteers	Domestic Volunteer Service Act of 1973(P.L.93113) - Income paid to participants - Title I: Volunteers in Service to America (VISTA), Americorps, University Year for Action (UYA), Urban Crime Prevention Program. Title II: Retired Senior Volunteer Program (RSVP), Foster Grandparent Program, Older American Community Service Program (Senior Health Aides, Senior Companions). Title III: Service Corps of Retired Executives (ACE)
Vietnam veterans	Vietnam Agent Orange Benefits. Benefits given for the children of woman-Vietnam veterans who suffer from certain birth defects must not be considered as income in determining eligibility or benefits.
Native American land	The value of land taken from and later added back to Indian reservations must not be considered income.
Native American judgments	Indian per capita judgment payments made to any tribe or group whose trust relationship with the federal government has been terminated and for which legislation was in effect before October 12, 1973 authorized the disposition of its judgment funds.
Non-cash	Any non-cash Federal or State Benefits.
WIA	Title I of the Workforce Investment Act of 1998: Supportive services to participants including assistance that enables people to participate in the program, such as transportation, health care, child care, handicapped assistance, meals, temporary shelter, counseling, and other reasonable expenses or participation in the program.

Continued on next page

Excluded Income Sources, Continued

Nutrition programs	Benefits from Women, Infant, and Children (WIC) program, Agriculture Nutrition Act of 1949 Section 416: value of federally donated food acquired through price support operations for school lunch or other distribution to needy people. Child Nutrition Act: the value of assistance to children under this Act. National School lunch Act: the value of assistance to children under this Act. Meals for Older Americans, School breakfasts and lunches and milk programs.
Job related expenses	For non self-employed applicants that do not file income tax as self employed (a sales person or a truck driver/taxicab driver) and who pays business expenses and also receives a paycheck, deduct these business expenses from the household's total gross income.
Employer paid benefits	Most employers providing benefits make a contribution to the cost of the benefit, with any remaining cost to be paid by the employee through payroll deduction. The employer contribution is not income. The payroll deduction is income.
Gifts and inheritances	One time lump sum inheritances or gifts. Such as gifts occasioned by a death or gifts of domestic travel tickets.
Prizes and awards	A prize is generally something received in a contest, lottery or game of chance. An award is usually received as the result of a decision by a court, board of arbitration, or the like.
Food stamps	The value of the coupon allotment provided to any eligible household.
Medicare and medical	The value of medical expenses paid directly to a health care provider on behalf of the household.
Medicare deductions	The deduction for Medicare from Social Security benefits.

Continued on next page

Excluded Income Sources, Continued

Sale or exchange of property

Capital gains people received (or losses they incur) from the sale of property, including stocks, bonds, a house, or a car (unless the person was engaged in the business of selling such property, in which case count the net proceeds as income from self-employment)

Other exclusions

- Military combat pay
 - Child Support Payment contributions
 - Draw down from Reverse Mortgage
 - Tax Refunds
 - Loans
 - Withdrawal from Savings
 - Food or housing received in lieu of wages.
 - The value of food and fuel produced and consumed on farms
 - One-time Insurance Payments
 - Compensation for Injury
-

LIHEAP Household Report--Federal Fiscal Year 2011--Long Format

Expiration Date: 10/31/11

Grantee Name:

State of California-Department of Community
Services and Development

Contact Person:

Kathy Andry, Senior Manager

Phone:

916-576-7109

Date:

8/29/2011

The *LIHEAP Household Report--Long Format* is for use by the 50 States, District of Columbia, and the Commonwealth of Puerto Rico. This Federal Report provides data on both LIHEAP assisted and applicant households for Federal Fiscal Year (FFY) 2011, the period of October 1, 2010 - September 30, 2011. The Report consists of the following sections: (1) **LIHEAP Assisted Household Format** and (2) **LIHEAP Applicant Household Format**. Data on assisted households are included in the Department's annual *LIHEAP Report to Congress*. The data are also used in the measuring targeting performance under the Government Performance and Results Act of 1993. As the reported data are aggregated, the information in this report is not considered to be confidential.

There are two types of data: (1) **required** data which must be reported under the LIHEAP statute and (2) **requested** data which are optional, in response to House Report 103-483 and Senate Report 103-251. Both the *LIHEAP Household Report--Long Format* (the Excel file name is *hhsrptst.xls*) and the instructions on completing the Report (the Word file name is *hhrptins.doc*) can be downloaded in the Forms sections of the Office of Community Services' LIHEAP web site at: www.acf.hhs.gov/programs/ocs/liheap/grantees/forms.html#household_report. Do not include data for the column, "Number of assisted households," and the column, "Number of applicant households," as the totals will be calculated automatically for each type of LIHEAP assistance by a formula as the poverty level data are entered.

Do the data below include estimated figures?

No	Yes
	X

 If "Yes," Mark "X" in the second column below for each type of assistance that has at least one estimated data entry.

1. LIHEAP ASSISTED HOUSEHOLD FORMAT

REQUIRED DATA												REQUESTED DATA	
Type of assistance	Mark "X" to indicate estimated data	Number of assisted households	Percent of 2010 HHS Poverty Guidelines, based on gross income and household size					At least one member who is				At least one member who is	
			Under 75%	75%-100%	101%-125%	126%-150%	Over 150%	60 years or older	Disabled	Age 5 years or younger	Elderly, Disabled, or Young Child	Age 2 years and younger	Age 3 years through 5 years
Heating	X	245,630	95,858	67,115	38,998	19,607	24,052	80,285	91,023	61,300	151,576	33,857	41,843
Cooling		0											
Winter/year round crisis	X	115,674	58,125	22,202	13,254	9,000	13,093	16,954	32,727	41,996	69,499	24,506	27,970
Summer crisis		0											
Other crisis (specify) *EHCS	X	12,567	3,594	2,888	2,032	1,365	2,688	3,953	2,620	3,244	6,871	1,637	2,370
Weatherization	X	32,014	9,140	6,678	4,845	3,800	7,551	10,686	6,971	7,212	17,408	4,243	5,278
Any type of LIHEAP assistance		247,367											

Notes: Include any notes below for section 1 (indicate type of assistance and item being referenced): = not applicable

*** Emergency Heating & Cooling Services**

NOTE: "Any type of LIHEAP assistance", "Number of assisted households"- unduplicated count is based on utility assistance services and does not include unduplicated count for all other LIHEAP services due to system limitations.

2. LIHEAP APPLICANT HOUSEHOLD FORMAT (regardless of whether households were assisted)

Type of assistance	Mark "X" to indicate estimated data	Number of applicant households	REQUIRED DATA				
			2010 HHS Poverty Guideline interval, based on gross income and household size				
			Under 75%	75%-100%	101%-125%	126%-150%	Over 150%
Heating	X	245,630	95,858	67,115	38,998	19,607	24,052
Cooling		0					
Winter/year round crisis	X	115,674	58,125	22,202	13,254	9,000	13,093
Summer crisis		0					
Other crisis (specify) *EHCS	X	12,567	3,594	2,888	2,032	1,365	2,688
Weatherization	X	32,014	9,140	6,678	4,845	3,800	7,551

Notes: Include any notes below for section 2 (indicate type of assistance, and item the note is referencing):

*** Emergency Heating & Cooling Services**